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# The Concept of Fantasie in Two Versions of The *Carmen Fantasie*; Sarasate and Waxman

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# The Concept of Fantasie in Two Versions of The *Carmen Fantasie*; Sarasate and Waxman

**by**

**Sue-Jean Park, B.M., M.M.**

**treatise**

Presented to the Faculty of the Graduate School of

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## Dedication

I dedicate this treatise to my parents whose patience and support has made my work possible

## Acknowledgments

I thank Dr. Elliott Antokoletz and Professor Vincent Frittelli for their guidance and their tireless efforts in this project. They have never failed to offer their encouragement, have given me greater understanding of the music, and have never waned in their enthusiasm. I am grateful to them for this and for many other things.

The current copyright owner, John Waxman, has informed me in his letter that under no circumstances may I reproduce any of Franz Waxman's music in my treatise. This stipulation has prevented me from presenting an illustrative comparison of Waxman's Carment Fantasy with that of Sarasate or the Bizet opera.

# The Concept of Fantasie in Two Versions of The *Carmen Fantasie*; Sarasate and Waxman

Publication No._____

Sue-Jean Park, D.M.A.

The University of Texas at Austin, 2006

Supervisor: Elliott Antokoletz and Vincent Frittelli

Abstract: The intention of this study is to show how the fantasia concept is developed in two different versions of the *Carmen Fantasie* for violin and orchestra, which stem from the original *Carmen* opera by Bizet. Specifically, I will compare the Sarasate and Waxman creations. How do these composers' approaches differ in their compositional structure, violinistic idiom, and technical aspects? I will show how these issues are developed in connection with the concept of the "fantasie" genre. One notion to be dealt with is the variational approach, another idea of arrangement or transcription. In addition to the analytical exploration, different scholarly research materials will be used to establish a broader historical background, that is, composers' careers and musical thought, violinistic development in the genre, and the immediate history of these compositional creations.

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# Chapter 1

# Introduction

George Bizet's opera, *Carmen* (1871), because of its wealth of attractive themes, induced composers of instrumental works to use these themes as the basis for virtuoso elaboration in instrumental idioms. While Bizet's opera is based on the traditional "number" concept—organized in correspondent with the story or libretto—many beautiful arias and other types of solo songs in a continuous unfolding, a purely instrumental idiom without a story would necessarily be organized according to some other unifying processes to allow for the development of the themes. One possibility would be to present each of the different themes in some variation conception. However, because of the multiple contrasting themes themselves, the variation concept per se is not entirely

plausible. If a composer works with only a single theme, the variation process would be an ideal vehicle. Since there is a multiplicity of themes provided in opera in general, perhaps a freer type of form such as a "fantasy" would be appropriate. The greater freedom of the fantasy over the variation concept would accommodate thematic variety. It is the "fantasy" idea that was thereby to be used by two prominent composers of the violin idiom. Pablo de Sarasate and Franz Waxman were almost the inevitable musical masters to absorb the operatic milieu into the instrumental idiom by means of this formal process that they have referred to as fantasy. The *Carmen fantasie* of these two different composers reveals how such diversity of operatic themes would be presented in a highly unified, expressive virtuoso medium. In a sense, the fantasie idea is a sort of compromise for the ideal unifying process of variations. Both composers synthesized the variation process with the genre known as fantasia.

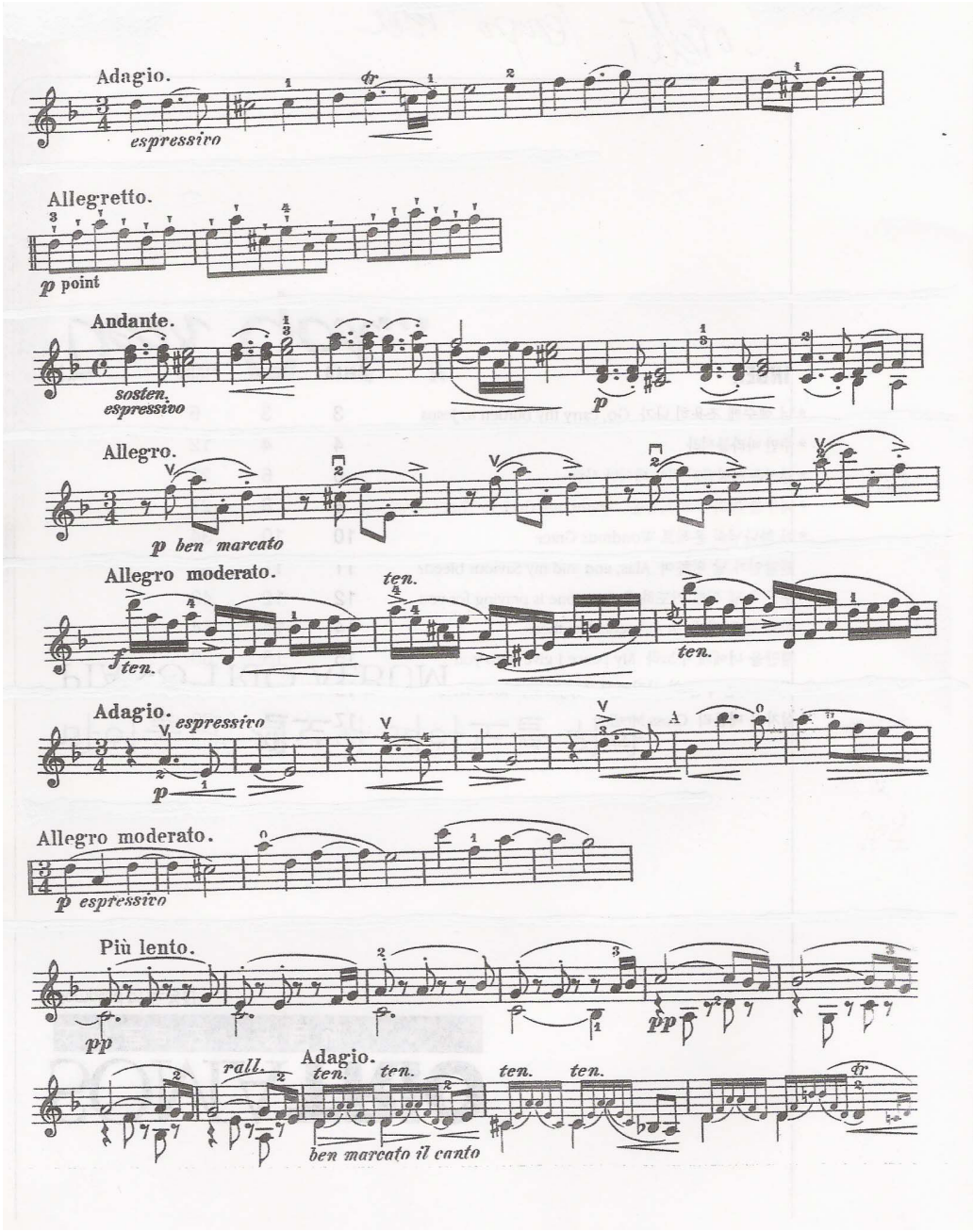
The purpose of this dissertation is to explore how these two composers, who lived during different periods, composed a virtuoso *Carmen* piece for solo violin and orchestra using the same fantasia-variation process, but differing

especially in their approach to the idiomatic violinistic techniques and figurations. Furthermore, the intention is to show how the vocal idiom was transformed into an instrumental idiom in the late nineteenth and early twentieth centuries.

Obviously, virtuoso music is highly difficult technically; only highly skilled performers are able to play such virtuoso music as composed by Sarasate and Waxman. In order to appreciate the essence and importance of the fantasia concept, as dictated by the need for transformation of the operatic numbers into a unified instrumental arrangement, a brief history of the fantasia as a genre is presented here.

Virtuoso writing for the violin reached a peak clearly emerged in the seventeenth century with the violin works of Arcangelo Corelli (1653-1713) and Antonio Vivaldi (1678-1741), for example, Corelli's sonata *La Follia* (1700), which is a theme-and-variations format (Example 1).[1]

[1] Vivaldi's concerti *The Four Seasons* (1725); and Giuseppe Tartini's (1692-1700) *Devil's Trill* all have varying tempos, fast-moving arpeggiated passages that can be played in one or two hand-positions, and double-stops of a third interval.


Adagio.
espressivo
Allegretto.
p point
Andante.
sosten.
espressivo
p
Allegro.
p ben marcato
Allegro moderato.
ten.
f ten.
ten.
Adagio.
espressivo
p
Allegro moderato.
p espressivo
Più lento.
pp
pp
rall.
Adagio.
ten.
ten.
ten.
ten.
ben marcato il canto

Example 1

Here we see the joining of the monothematic variation concept with the virtuoso development. As we know, great development of the genre and various forms of idiomatic instrumental writing were extremely complex by the late Baroque era, as seen in either variations (as in the passacaglias, and chaconnes of Biber and Walther in seventeenth century and J.S. Bach in eighteenth century, or in fantasias, as in the keyboard fantasias of C.P.E. Bach and others). However, in the nineteenth century, with the rise of romanticism, all of these developments were transformed and intermingled in complex ways. It was a century of interest in transcription and the crossing over of genres. For example, Franz Liszt transcribed Beethoven symphonies as well as operatic arias for piano. It was also the era of remarkable violinistic development with Paganini, Wieniawsky, Vieuxtemps, and others.

All these developments—fantasia, variation, transcription, virtuosity, etc— foreshadowed the possibility of the transformation of Bizet's operatic idiom into the *Carmen* fantasie of Sarasate and Waxman. In order to understand the various ingredients that make up this special genre that forms the basis of this

study, we need to survey some earlier developments of several genres. All of those genres are essential forerunners of the various formed and procedural ingredients that comprise the Sarasate and Waxman works. They are basic in understanding the new genre that exemplifies the romantic aesthetics in general.

The earliest use of the term "ricercare" seems not to have any straightforward meaning. Widely accepted is the meaning, that it is a serious piece with monothematic variation for keyboard instrument, established such by Frescobaldi, e.g., "Ricerecare deppo il credo" from his organ work *Fiori musicali*. The ricercare did not have the same function as "fantasia", but came to mean also a monothematic variation.

Another seventeenth century piece is the "canzona", which has multiple themes in several sections. Giovanni Maria Trabaci (1575 - 1647) in 1603 was one of the first to use the "variation canzona", a monothematic, sectional variation.

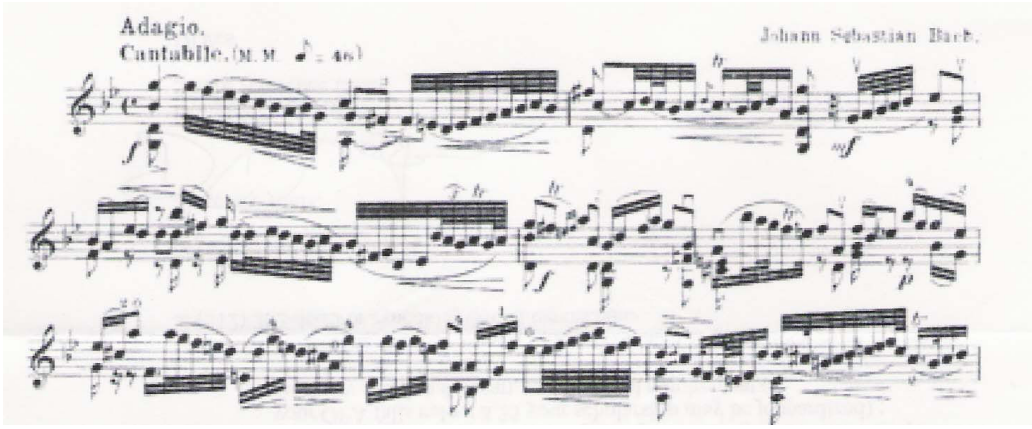
Jan Pieterszoon Sweelinck's (1562 - 1621) fantasias have a main theme with secondary themes in several imitative sections with fugal character as in his Chromatic Fantasia. Chromatic fantasia is a specific form of fantasia that is based

on a chromatically descending tetrachord which arises naturally out of the dorian mode, almost invariably in D-minor, even as late as Bach.

The German composer, Johann Jacob Froberger (1616 – 1667), wrote many improvisational works for keyboard, including ricercares, fantasias, and canzonas. He is important for bringing his Italian leanings from his teacher Frescobaldi to Germany. This line can be traced to Bach.

Johann Sebastian Bach (1685-1750) developed the pre-existing improvisatory forms: the prelude, toccata, and fantasia. He also developed imitative and strict forms, such as the fugue, fantasia, ricercare, canzona, capriccio, and invention. His slow-tempo fugues developed from the ricercare; his fast-moving organ fugues developed from the canzona, more specifically, the variation canzona. His three sonatas for solo violin (BWV 1001, 1003, 1005) were composed between 1717 and 1723. Let us turn our focus to the adagio and fugue movements of these pieces. In the adagio movements, chords that anchor the movement are filled in with highly ornamented frills: a mix of 16th-, 32nd-, 64th-note rhythms and trills that require strict counting on the part of the violinist

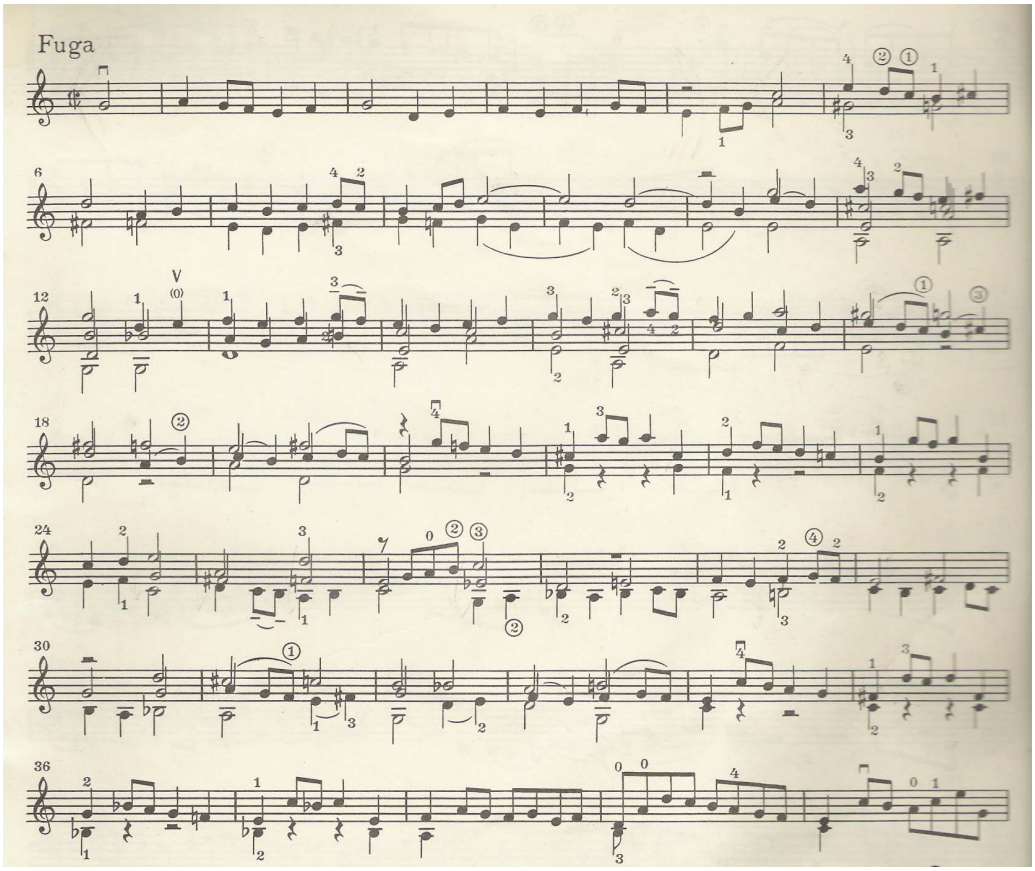
(Example 2). The fugue movements of these sonatas contain passages that are ornamented frequently with chordal passages. These chords are often played in quick succession, requiring frequent rearticulation of the double- and triple-stops by the bow (Example 3).



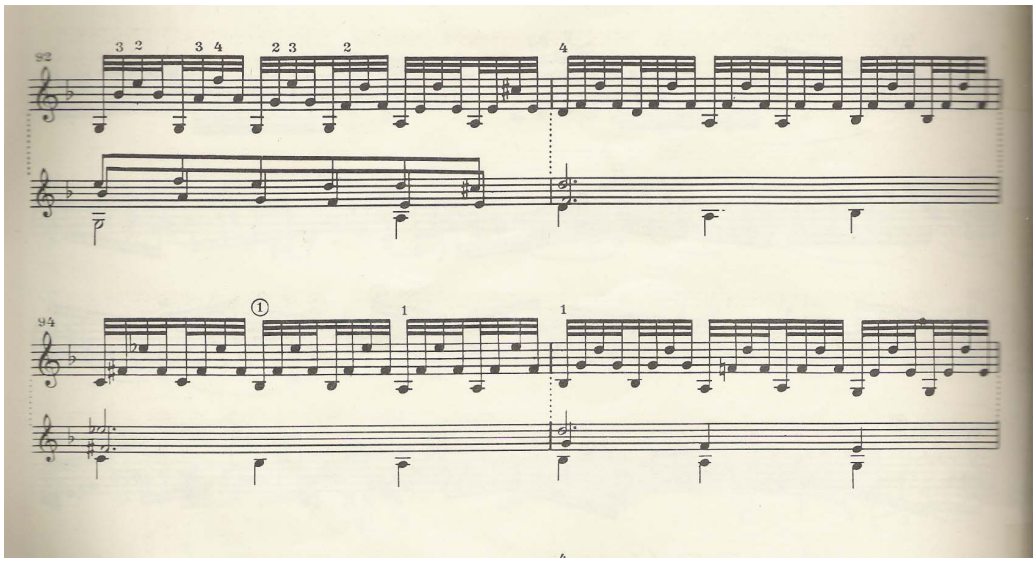

Example 2

The Chaconne of Bach's second Partita (BWV 1004) is in a class by itself. It reveals sympathies of all of the violin techniques and figurations that have been developing throughout the seventeenth and eighteenth centuries in Italy and German. It has extended arpeggiated passages, and frequent use of double-stops of changing intervals. The scalar passages require careful left-hand articulation to produce clean sounds. The phrasing is especially difficult because there are no

distinct contrasting themes, and it is up to performer to create breaths and pauses to make the piece listenable. Specific to this piece is the organ-like playing for the violin (Example 4).




Example 3

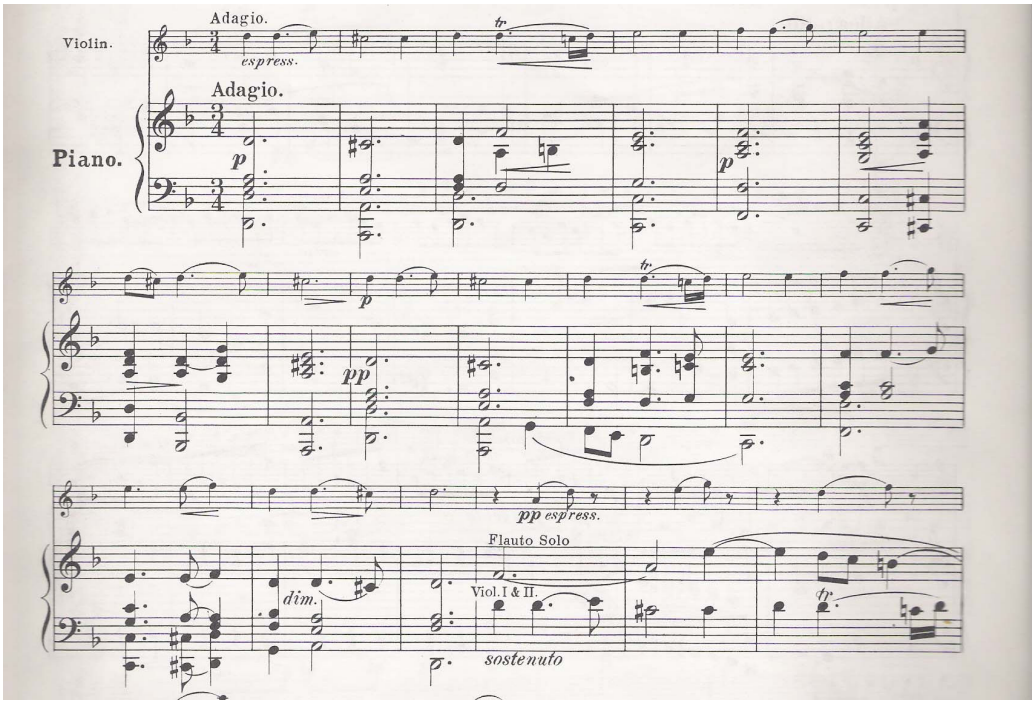


Example 4

The violin passages of Corelli's *La Follia*, Vivaldi's *The Four Seasons*, and Tartini's *Devil's Trill* received harmonic support from accompaniment. The violin represented one voice. In the Bach sonatas and partitas, however, the unaccompanied violin must play the parts of two or three voices at a time, making the music more difficult to perform (Example 5).

All of these developments through Bach only suggest the transformation that these forms, genres, and styles were to undergo in the 19th century. At least, such a survey gives us some idea of the different techniques and structural developments that they were to undergo in the later era. The style of "fantasy"

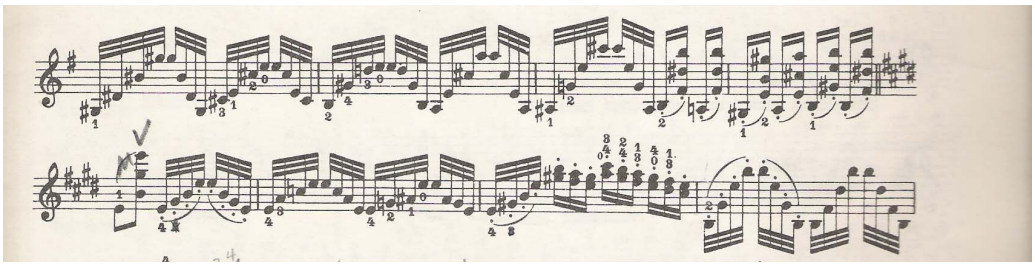
with 19th century composers, especially those who were virtuoso violinists, was exemplified by Paganini. We began to move into an era that reveal and entirely approach to structure general.



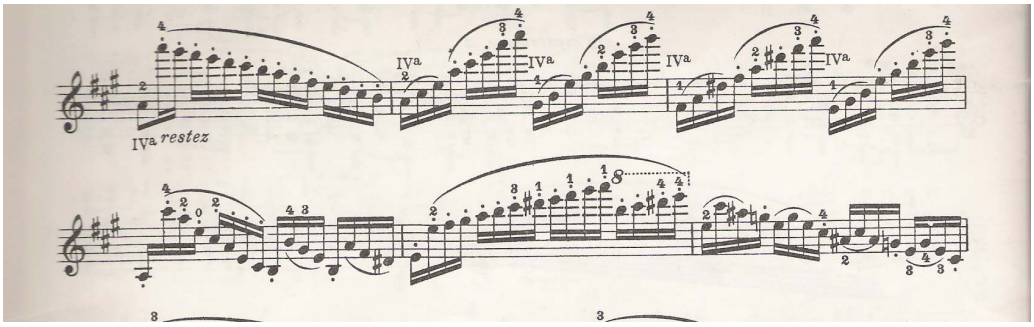

Example 5

Niccolo Paganini (1872-1840) *24 Caprices* and his two *Concerti* showcase many difficult violin techniques. He showcases fast-spiccato bow, where the bow must articulate each note but move extremely rapidly; frequent, multiple-position (over four positions) leaps for the left hand, which from

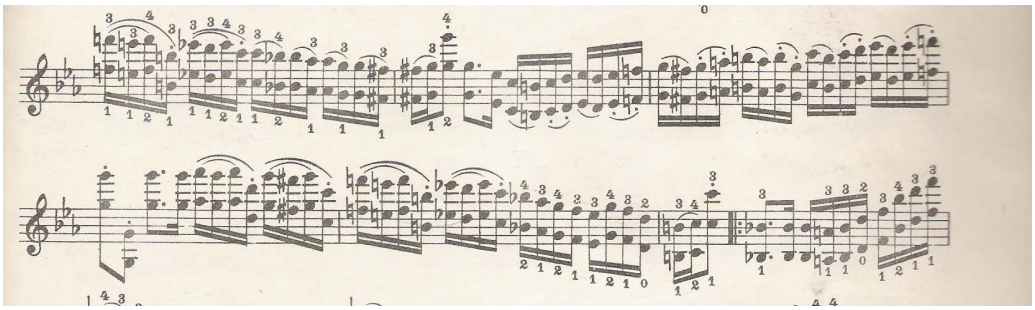
necessity involves skipping strings, sometimes even turning the destination note into a chord, rather than a single note; fingered thirds, octaves, and tenths through extended passages; fast-moving changing fingered-harmonics; ricochet bow; articulated double- and triple-stops, especially when it is tempting to play glissando in order not to have to articulate the chords; slurred staccato, requiring great right-hand facility. What's more, Paganini's chords are ornamentation to melodies – they are not chordal progressions (Examples 6-8).



Example 6 Paganini Caprice Op.1 No.1

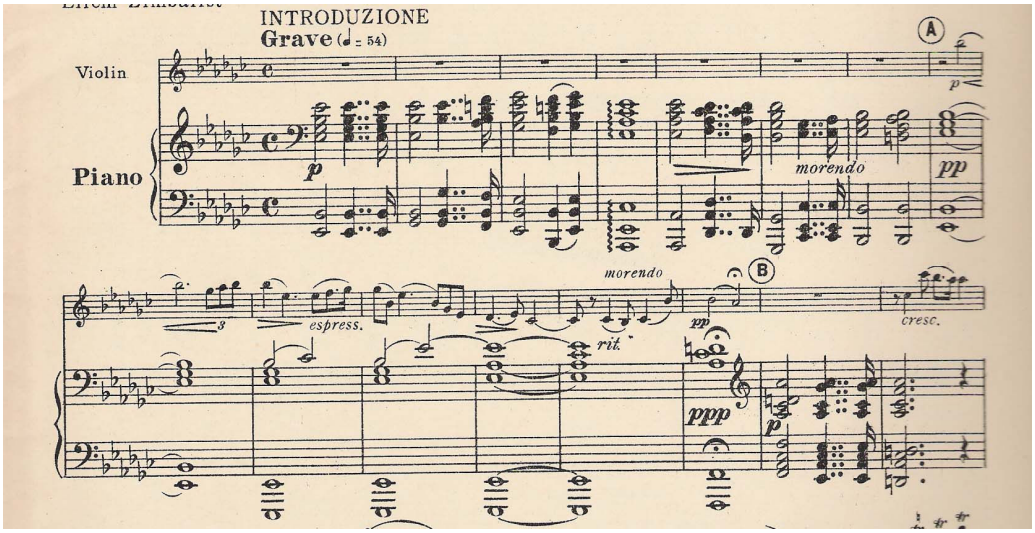



Example 7 Paganini Caprice Op.1 No.21

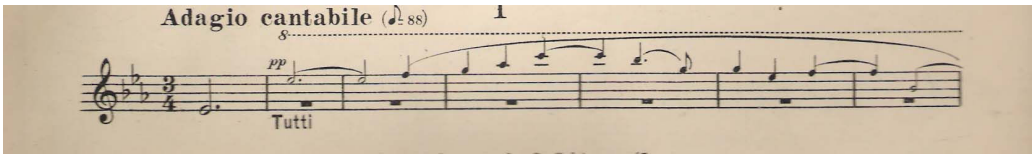


Example 8 Paganini Caprice Op.1 No.17

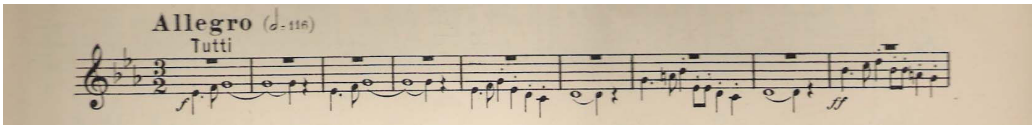
Two other famous violin virtuoso works are *Introduction and Rondo Capriccioso*, Opus 28, and *Havanaise*, Opus 83 by Camille Saint-Saëns' (1835-1921). Their outstanding characteristics are slurred staccato, fast tempos, large interval leaps, fast-moving sixteenth notes and stops, articulated double-stop glissando. During the same period, Max Bruch (1838-1920) wrote three violin concertos, including one named *Scottish Fantasy,* Opus 46. This orchestral accompaniment is freer than typical concertos. It does not follow the three-movement structure of traditional concertos, there is no introductory tutti (Example 9). This piece has thick texture, but the violin sound must be kept light. There's much unison between orchestra and the violin. This makes it seem more fantasy-like (Examples 9-13).



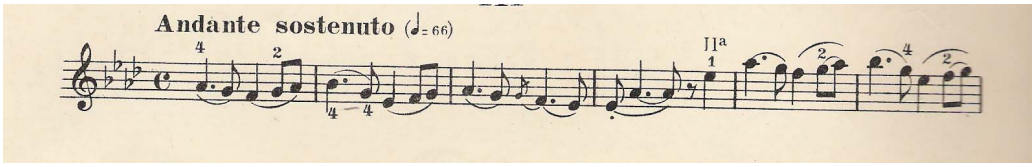

Example 9



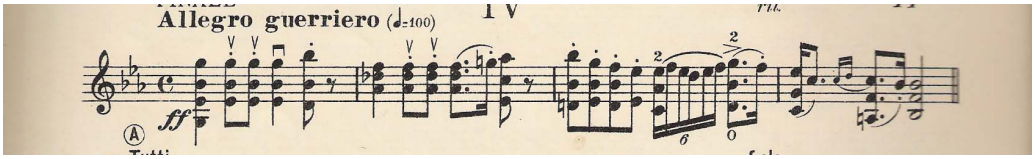

Example 10




Example 11




Example 12




Example 13

Pablo de Sarasate wrote *Zigeunerweisen* (Gipsy Airs) (Opus 20), *Spanish Dances* (Opus 21), and *Faust Fantasy*. *Zigeunerweisen* is a highly technical work based on gypsy melodies of dark and serious mood. Flourishing passages that are not rhythmically strict stretch the bar, and following fermata notes. They are notated as extended grace note passages with articulated glissando. Harmonics and left-hand pizzicato are in embed ordinary passages with no time for the performer to prepare. His treatment of harmonics and left-hand pizzicato require a special technique to play. It's difficult to play them, let alone with no time to prepare the left hand. It also requires very high hand-positions.

Ernest Chausson's (1855-1899) Poème, Opus 25 is his most well-known virtuoso violin piece. It is difficult, but the piece is too dark for the listener to feel the sparks that a typical virtuoso piece conveys. It sounds almost religious. While it certainly shows off technique, but it is not written in that fiery manner

that many virtuoso works display. There are not many extremely high notes. It is not programmatic as most *poems* are, but it does sound more like a melodic, quiet *poem* than a dramatic *fantasy*. It has a thick texture. The double-stopped passages sound difficult, but the fingering makes it easier for the performer to play.

Eugene Ysaye's Six Sonatas (Opus 27) are modeled on Bach's Six Sonatas and Partitas. Each sonata is dedicated to a different violinist. In nearly every measure there are awkward positions and fingerings that do not follow what the violinist's hand is accustomed to playing. The performer can expect to play in all sorts of positions with all strings. The technique in this piece is such that the composer created his own table of symbols for violin techniques, there are so many new ones.

Among the violin techniques are many multiple stops (double, triple, quadruple, etc. stops). Chromatic chords fill the work, which is not based on standard major and minor chords; this means further difficulties for the performer. It has high left-hand positions, and arpeggios are wide-ranging (Ex.15).

# Signes - Abréviations.

Les 4 cordes; mi-la-ré-sol.

En se maintenant sur une corde ① ② ③ ④

Doigt immobile: _ _ _ _ [1]

Poser le doigt sur la quinte juste: [5]

Restez à la position: _ _ _ [R]

A la pointe: _ _ _ _ _ [P]

Au talon: _ _ _ _ _ _ [T]

Au milieu: _ _ _ _ _ [M]

Note jouée isolément - ϕ

Le quart de ton au dessus ⊠

Le quart de ton au dessous ⊠

Le sautillé: _ _

Le détaché à la corde:

Employez tout l'archet: ⊢⊣

Archet court: [AC] - Archet long: [AL]

Vibrant: _ [VB] - Sans vibrer: [SV]

Sans presser: [SP] - Sans hâte: _ [SH]

Bien mesuré: [BM] - Bien rythmé: [BR]

Marqué - accentué: >>>

Les accords ainsi notés: _ _

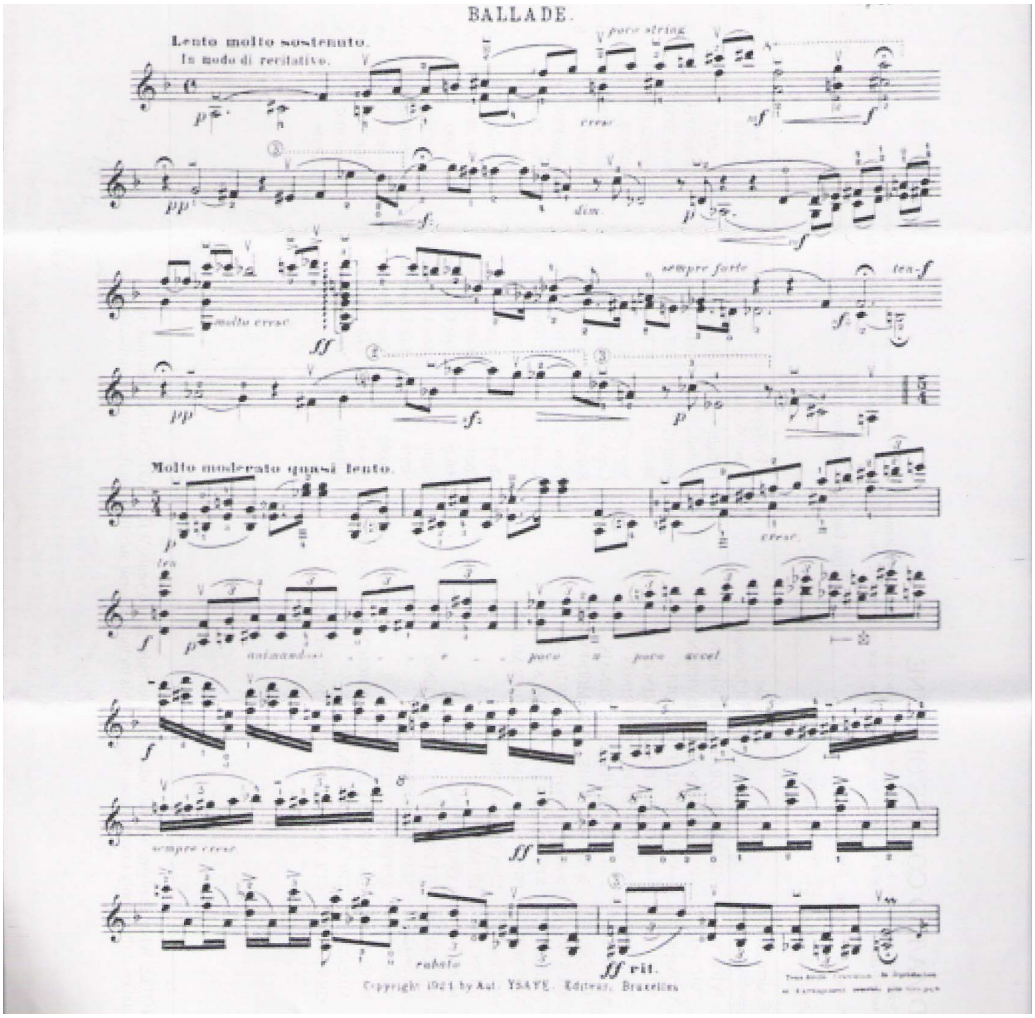
S'exécutent par un rapide arpège. *Ex.*

---

N. B. Sans contester que les procédés techniques soient du domaine individuel, on peut dire, avec certitude, que l'artiste qui regardera de près les doigtés, coups-d'archet, nuances et indications de l'auteur, se rapprochera toujours plus rapidement du but.

E. Y.

Example 14



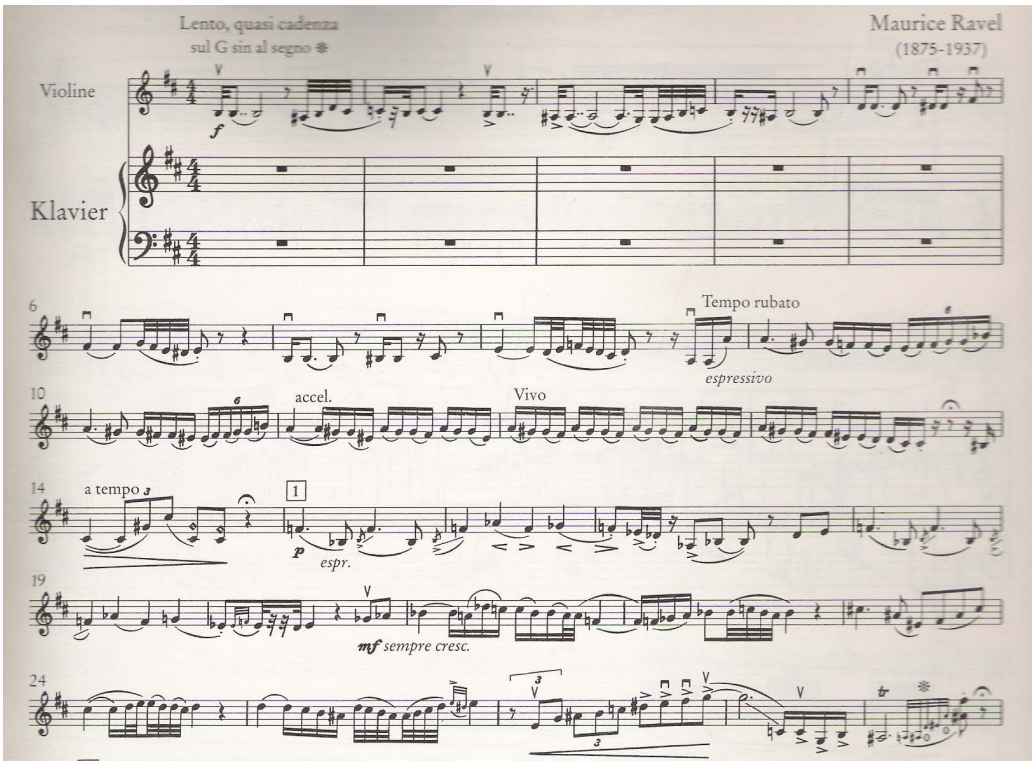

Example 15

Maurice Ravel's (1875-1937) most popular virtuoso violin work is *Tzigane*, Rhapsody of Concert for Violin amd Orchestra. Ravel notates the movement as "quasi cadenza" (EX.16), a rubato fantasy. The first 28 measures are all on the G-string, and at the highest point, 2 octaves above open G without

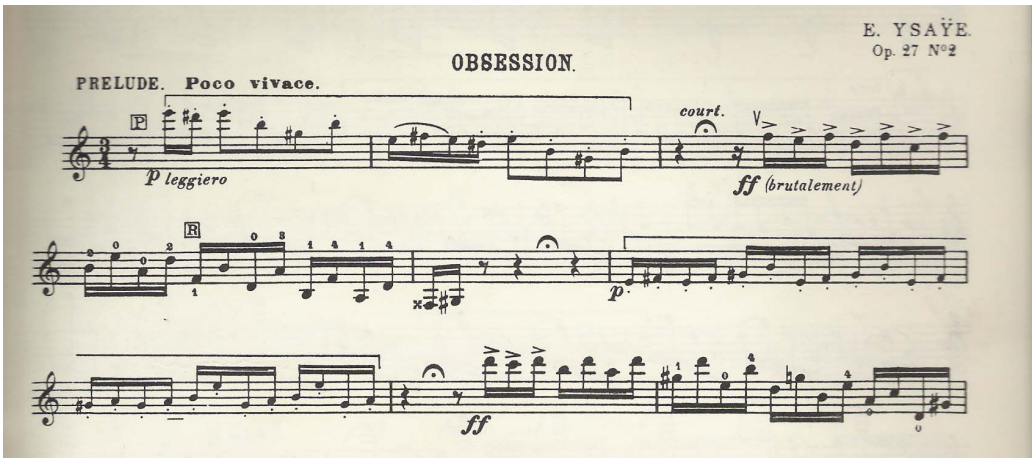
accompaniment. This piece has a challenging left-hand pizzicato passage and double-stop trills. Also, fast-moving harmonics are mixed with ordinary notes. Intentionally irregular patterns and sequences in scalar passage occur often.

In the nineteenth century, the composers wrote virtuoso music by arranging other composers' works. Transcription and arrangement is the writing down the musical works copied from one musical idiom and transformed another. For example, Maurice Ravel transcribed his *La Valse* for piano for orchestra. Franz Schubert's "Wanderer Fantasy" for piano second movement, is based on a transcription of his song of the same title. This means that the composers rearranged the same music for a different instrumentation.

A quotation, as distinct from transcription, incorporates a relatively brief segment of existing music in another work. Eugene Ysaye quotes Bach's Partita No. 3 for violin for one segment of his Sonata No. 2 for unaccompanied violin. As other examples, Franz Liszt, Brahms, Rochberg and Rachmaninoff quoted Paganini's Caprice No. 24 (Ex.17).




Example 16




Example 17

Sarasate and Waxman used these methods to adapt *Carmen* for their violin fantasies. In the next chapter, I discuss the background of Bizet's *Carmen*: the story, structure, the early performances, as well as the controversy and stir it caused when it was first performed. And, we examine each song from the opera used for Sarasate's and Waxman's works.

The structure, types of ornamentation, and other violinistic features are the focuses of discussion. Both fantasies are distinctly different in their interpretations of the form of "fantasy". Sarasate's, the earlier work, is much more sectional, while Waxman's, written in the middle part of the twentieth century, is noticeably without such sections when compared to Sarasate's. In order to offer a deeper understanding of the two pieces at hand, in Chapter 3, each work is analyzed separately in the way it elaborates on *Carmen*'s themes, and then both are composed each others.

# Chapter 2

## Background of works

Before we compare the Sarasate and Waxman fantasies, we need to better understand the original *Carmen*. Some background information is in order. Georges Alexandre Leopold Bizet (1838-1875) wrote three operas; Carmen is his final work, and is based on Prosper Merimee's novel *Carmen*. The story takes place in 1820 in Sevilla. It consists of four acts and twenty-seven scenes. Gypsy cigarette girl Carmen taunts corporal Don José with her flamboyant charms, and even the gentle peasant girl Micaela, who loves Don José cannot break Carmen's spell, and the corporal gives up everything to follow the gypsy into the mountains. She quickly tires of Don José and runs off with the handsome matador Escamillo, fatalistically embracing the warning of death she has seen in the cards. As Escamillo triumphs in the bullring, Carmen is confronted by Don José in a nearby

alley, and this time, her defiance cannot save her.

Bizet's *Carmen* (1875) is one of the most versatile in the various ways of combining spoken dialogue with sung numbers. In this case, melodrama, pantomime, recitative and aria were combined with spoken dialogue with offstage military and bull-fight music. Its Spanish setting, based on the diatonic mode of Spain, Phrygian, dance forms and popular song, was a model for other composers.[2]

The first performance took place at the Opera Comique, Paris, on March 3, 1875. The librettist, Ludovic Halévy, describes the audience's reaction below:

> The entry of Carmen was well received and applauded, as was the duet between Micaëla and Don José. As the first act ended there were many curtain calls. Backstage, Bizet was surrounded, Congratulated!
>
> The second act, less enthusiasm. It opened brilliantly. The entrance of Escamillo was most effective. But then the audience cooled…surprised, unhappy, ill-at-ease. Backstage, fewer admirers,

[2]M. Elizabeth C. Bartlet, Richard Langham Smith: ' opéra-comique ', *The New Grove Dictionary of Music and Musicians* ed. S. Sadie and J. Tyrrell (London: MacMillan, 2001), xviii, 482-483

> congratulations restrained. No enthusiasm at all for the third act except for Micaëla's aria. The audience was frigid during the fourth act. Only a few devotees of Bizet came backstage. *Carmen* was not a success. Meilhac and I walked home with Bizet. Our hearts were heavy.[3]

The audience at the time was shocked because the original *Carmen* was different from the usual kind of *opéra-comique*. The morals in the story were not what the audience was used to. McClary puts it best: "The typical *opéra-comique* audience was made up of middle-class patrons…and the elements that appealed to these patrons were sentimentality, unambiguously moral plots, edifying characters and happy endings – precisely the elements Bizet violated in *Carmen*."[4]

One way that Bizet constructs *Carmen* is in the format of a "number opera", which is a type that consists of individual sections. This form is popularly used for 18th-century opera types such as *opera seria*, *opera buffa*, and *opéra comique*. This is different from the structure of an opera such as Wagner's, which

[3] Ludovic Halévy, "La Millième Représentation," in *Breaking the Rules*, 36-7, quoted in Susan McClary, *Carmen*, 27.
[4] Susan McClary, *Carmen* (New York: Cambridge University Press, 1992), 45.

appears to make up of continuous music, and is not obviously divided into discrete sections. In Wagner, the sections are in generally obscured and its bar forms (AAB) and bogen forms (ABA) are organized chiefly on key relations. In Wagner's operas, drama is as important as the music that supports it; sound effects help in telling the story. In Bizet's number opera, music is the primary focus of the opera. We can pull an aria out of the opera and sing it as a concert solo; it stands on its own.

The following is a discussion of the scenes in the opera that are adapted as violin fantasies by both Sarasate and Waxman. They were apparently attracted to such an opera not only because of its beautiful and varied solo numbers but because it provided lyrical tune for sources from which the violin could transform the idiom of the voice. The variety of vocal material, in particular allows for the creative inspiration in terms of vocal embellishment figure in general style that expresses a given mode. Both the first scene, Prelude (adapted as the opening for Waxman's work) and the Entr'acte between Act III and IV (adapted as Sarasate's Introduction), begin with very lively, staccato, fortissimo,

forward-motion.

No.1 Prelude

It sounds like cheering people. The first sixteen measures in the A major prelude comprise a joyous, brilliant opening that sets the tone for the first act of the opera. In 2/4 time, its march-like, staccato phrases, each of which ends in a measure-long trill, sound like cheers from a crowd of people. This sort of opening sets the stage for a theme of triumph in the opera. Such an operatic mode is ideal for a violin composer like Waxman who might want to begin his fantasy with a sense of bravuras.

No.5 Habanera

We get the famous melody, Carmen's first aria. At a tobacco factory, a gypsy worker named Carmen sings a song (the famous *Habañera*) to the soldiers, who were waiting outside for the female workers to return from lunch. She's behaving as the sexy woman in this scene, singing seductively because she wants the attention of Don José. At the end of the aria, she throws a rose to him. The chromaticism of "Habanera" is musically and dramatically sneaky and teasing,

and therefore appropriate as a piece of flirtation. This is the main theme of section I of Sarasate's work. In his work, the violin seduces the listener with the same chromatic melody from Habañera.

No.9 Song and Melodrama

This is the moment that Carmen refuses to confess to assault, and twists her way out of it. In a slow 6/8, the melody circles around within an octave between low D# and high d. Section II of Sarasate is only one page and borrows this song, a nice contrast to Habanera, but at the same time maintains the seductive guilty. Thus, we get unity within diversity, necessary for the transformation of a large diverse work into a single movement violin work.

No.10 Seguidilla and Duet

Seguidilla is a quick, triple-time Spanish folksong and dance form. The song is generally in the major key and often begins on an off-beat. Carmen talks about herself falling in love. This is Carmen and Don José's duet. It is light and jumping character and dramatic. Carmen dances with this song. This is Sarasate III's main theme. This is yet another qualitative way of continuing expression of

the initial seduction. That is, she wants him to go away with her. Hence, varied music, but logical continuity of mood. At the same time, this can be seen as developmental, both dramatically and musically. This particular musical idea while coming from the opera, far exceeds the operatic form in excitement. Here the violin figuration can be used to hide intensity beyond that opera.

No.12 Gypsy Song

In the bar while Don José is in prison and Carmen is partying with the soldiers and other officers. This music is forward-moving and fast, and fiery. Music is crazy and dizzying like Carmen herself. Sarasate ends with this piece because the fantasy must end as dizzily as Carmen had danced. Again, Sarasate's treatments allows for even a greater dizziness than the operatic form, the composer exploring many of the resources of the violin techniques.

No.14 Toreador Song

This is the first entrance of Escamillo. The number is energetic and dramatic. He sings of how much he and his fellow toreadors enjoy bullfighting. As important as this song is to the opera, and despite the fame and popularity of the toreador

with its buoyant rhythm and catchy melody, it is striking that neither Sarasate nor Waxman uses it. The reasons for this be will explored when we are evaluating the structure of the overall fantasy and the local connections between the numbers.

No.20 Trio

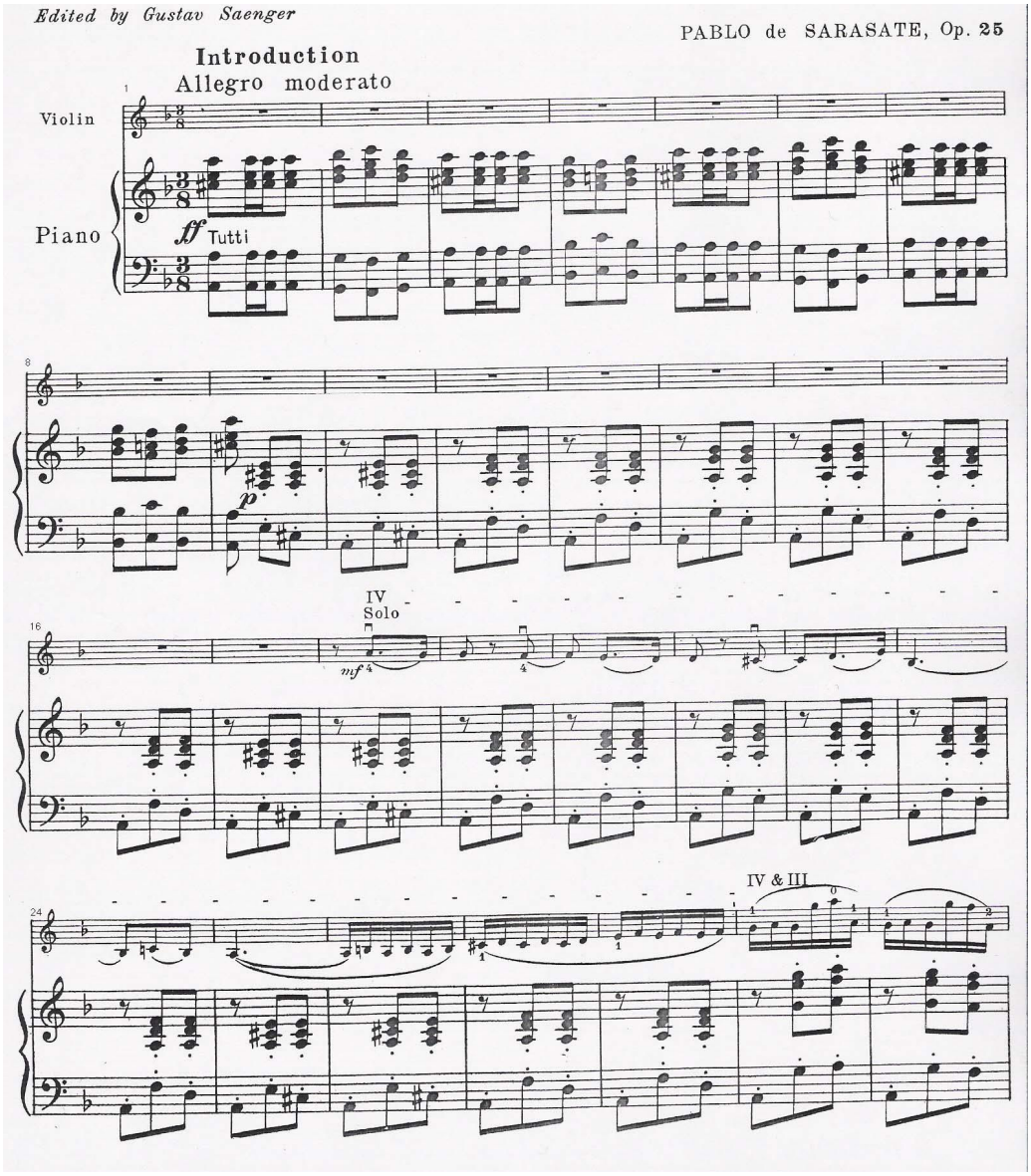
This melody is simple and tempo is Andante molto moderato. Carmen sings that she knows she will die. The music is very sad, desperate and crying. Every note is going to be very hard to bring out, and will not come easily. Waxman uses this melody; Sarasate does not. This difference between these two composers will be explored in their differing approaches within their individual songs.

# Chapter 3

## Analysis of Sarasate's and Waxman's *Carmen* Fantasies

### From Bizet to Sarasate

In this study, I will compare and analyze Bizet's opera scenes and Sarasate's fantasy derived from it. Sarasate borrows wholesale the Entr'acte section from Bizet's *Carmen* between Act III and IV and uses it as an introduction. The first Entr'acte theme (mm.1-17) does not return in either work. The tempo and melodies and this order are the same in Sarasate, except for the displacement of the Entr'acte, Sarasate, moreover, does not use all of the successive theme of the opera. One main issue concerns Sarasate's choice of the opera theme. The other main issue is how Sarasate transforms the operatic idea into idiomatic violin figuration.



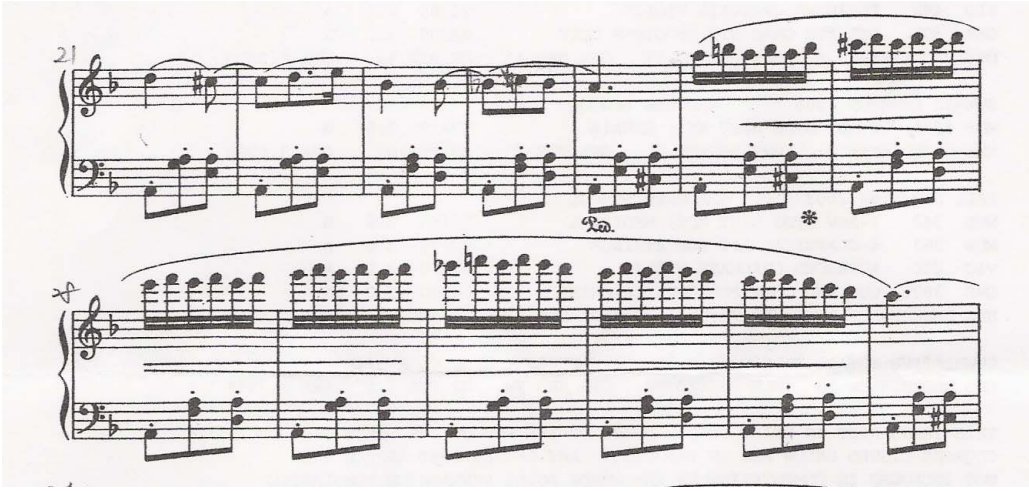

Example 18

The second Entr'acte theme (mm.18-25 in the opera) overlaps the second period of the first Entr'acte theme to create a sense of organic unity for the section.

This second Entr'acte, unlike the other themes of Entr'acte section, does return in both works. Thus far, Sarasate essentially follows the opera very closely. However, one difference in Sarasate's treatment for Entr'acte material is that he writes the second Entr'acte theme down an octave and on the G-string for dramatic effect.

The basic structural feature of the second Entr'acte theme in Bizet's opera is the successive statement of the theme in varied figuration. Sarasate does exactly same thing. In the Bizet, the unembellished first statement in descending contour outlines the A Phrygian mode but with raised third degree (A $B^{b}$ $C^{\#}$ D E F G A). This form of the Phrygian mode is a typical variant that we find in Spanish folk music, probably influenced by Arab music with regard to the augmented second. The next varied statement of the tune has added to it an ascending figuration (A B $C^{\#}$ D E F G A). This continues upward with the original Phrygian form (A $B^{b}$ C) to prepare for the descending variant of the first statement. The difference is that the descent begins with the high C (C $B^{b}$ A G F E D C $B^{b}$ A) and now continues downward in the next basically non-varied statement of the

original form.

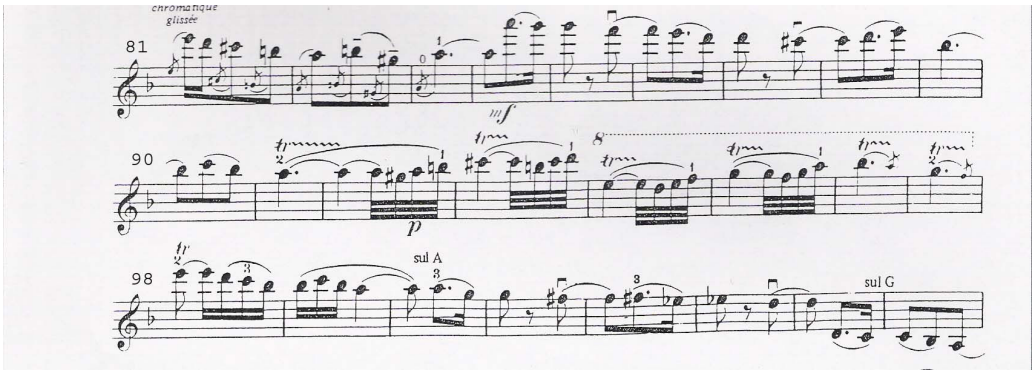


Example 19

In the Sarasate, we have the same format – an unembellished descending line (mm.18-25) and an ascending and descending embellished variant (Example 20). However, only after many added embellished variants do we finally come back unembellished to Sarasate's original statement, and then finally one octave higher (m.100).

Let us compare the first variant in both works, which are similar. Both begin with trill-like figure and added ascending portion. When we begin the descent, we have the first real difference. While Bizet simply continues trill-like

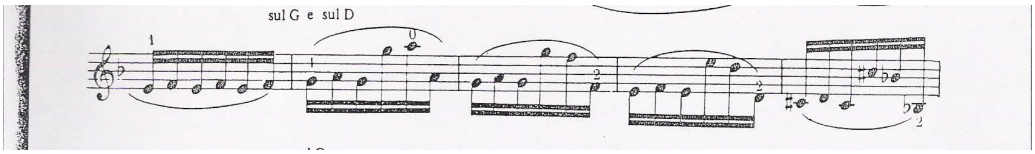
figure on the descent, Sarasate uses octave displacement. This significance of this difference is that Sarasate is allowing some connection with the long-short rhythm of the initial statement, though this rhythm is shifted in relation to the actual note. This allows the violinist to show off the idiomatic violin technique of crossing the strings and at the same time allows for a clear relationship between the variant and the original statement.




Example 20

In the following variants, which Bizet does not have, let us continue to look at what is special in the music's figuration for the violin idiom, and how this works in the structural relationship of the Sarasate's version. Sarasate uses the high position on the G and D strings (mm.29-32). The string crossing introduces a leap or gap of an octave, which does not occur in the opera. The voice simply

alternates between notes in sequential pairs in a sort of trill figure in the Bizet.

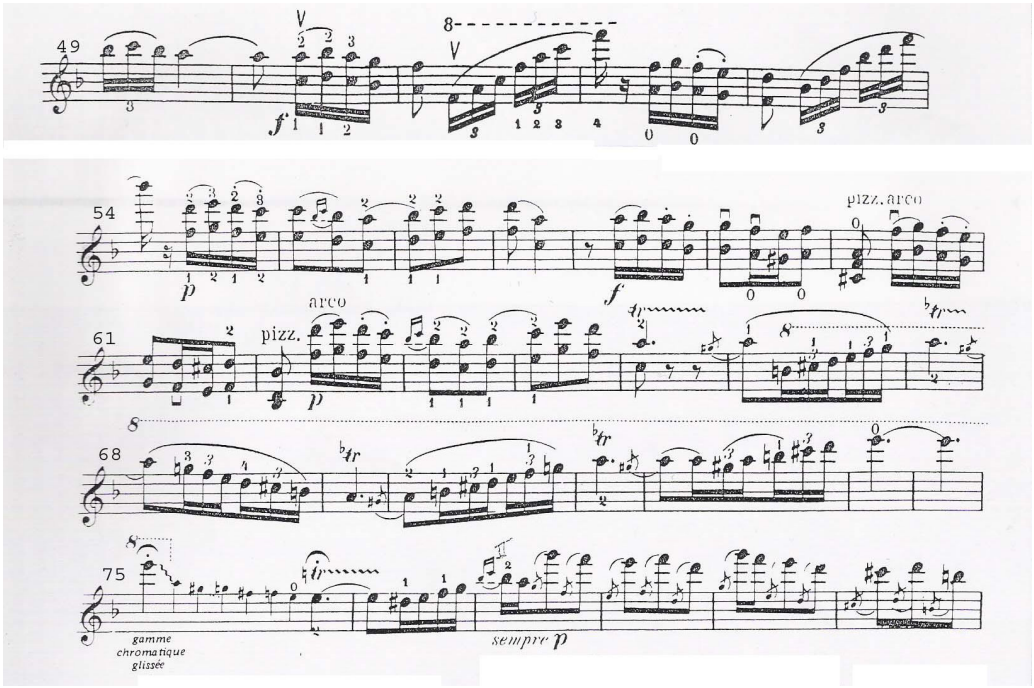



Example 21

Let us compare mm. 50-73 in Bizet with mm.50-75 in Sarasate. Sarasate composes for virtuoso violin by showcasing various technical feats on the instrument, and using Bizet's original material as a starting point. Sarasate arpeggiates Bizet's even eighth notes to exploit the idiomatic qualities of the violin (m.52). He converts Bizet's dotted rhythms into even 8$^{th}$-note double stops (m.56 and m.64). While this literally duplicates the piano reduction of the orchestra, the effect is striking when performed in the violin. What is originally a common contrapuntal alignment becomes a feat of great technical skill and, at the time, revealed the special sonic possibility of the string instrument. Sarasate further exploits the violin colors by punctuating the double stops with pizzicato chords. Perhaps equally impressive is the specific articulations. Here, I am speaking about bowings, which alternate slur and spiccato indications. The effect

of the dance-like quality of Bizet's Entr'acte is heightened by Sarasate's more articulated bounce achieved by the specific placements of the bowing signs. Furthermore, the added grace notes, which heighten the lilting quality (or "bounce") of the 8th note, produce a more complex sense of offbeat accentuation, as in mm.55. There is also the strong beat reinterpretation of the grace note figure, which suggests a more complex phrasal structure because of the shifted accentuation. In a certain sense, the Bizet material translates into a different concept, because of the idiomatic technical capabilities of the violin. The ending (m.60 and m.62) of each two-bar phrase with a pizzicato eighth-note chord, not only reminds us of the guitar sound, but also contributes to what is actually overall guitar style in the rhythms and figuration of this Bizet's Entr'acte. He lengthens Bizet's original one-measure high E, which had no real dramatic meaning in that work (mm.73-74). Sarasate's E is two measures long, and is followed in m.75 by a two-octave chromatic glissando for a whole bar between fermatas. The significance of the latter is the extremely virtuoso embellishments of the violin capacity. The entire added figuration (held E harmonic, brilliant

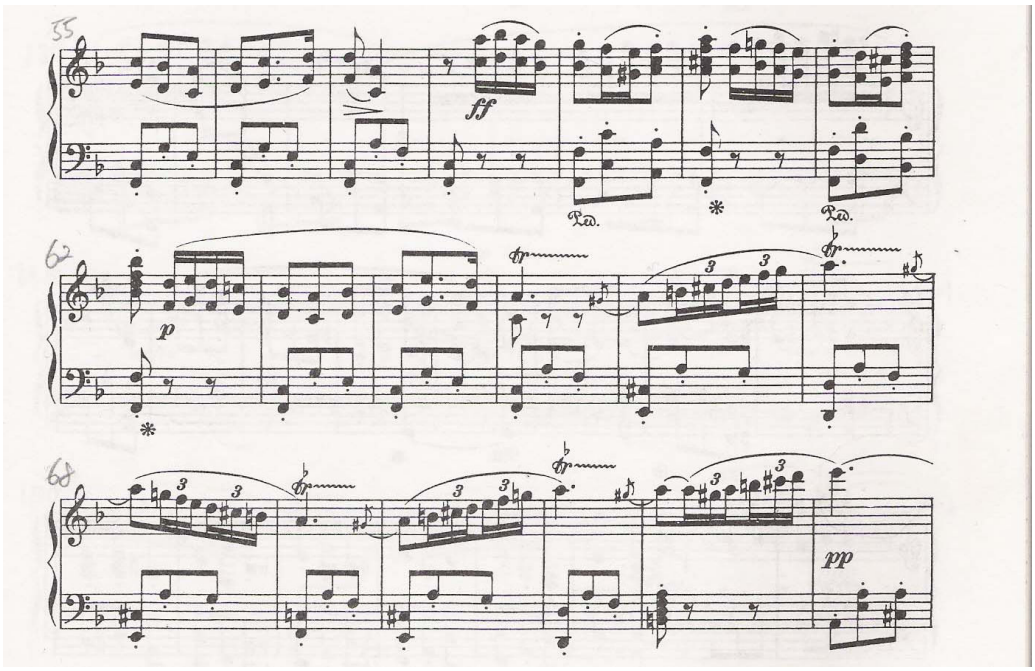
glissando, trill articulation on the lower held E and then anacrusis sixteenth note accent) is an elaboration of the still more virtuoso modification in the following grace note octave of the main thematic figuration.




Example 22

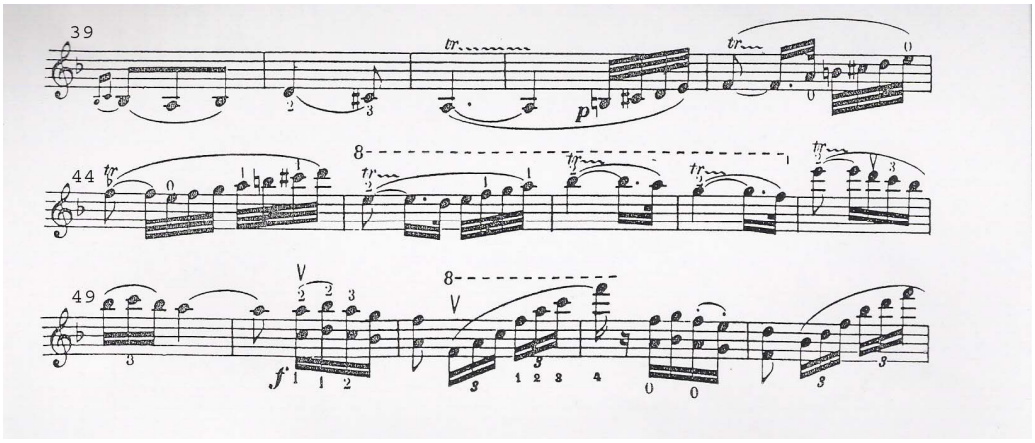
The endless variety of techniques for the repetition of the basic thematic idea reveals the remarkable ingenuity of composer that can only be a virtuoso violinist himself. More significantly, in regard to the overall structural concept, is the principle of the variation for the otherwise repetitious statements of the basic

material. Thus, we can assert that the violin composer can follow very closely the original operatic material and yet create what appears to be entirely new and original genre.

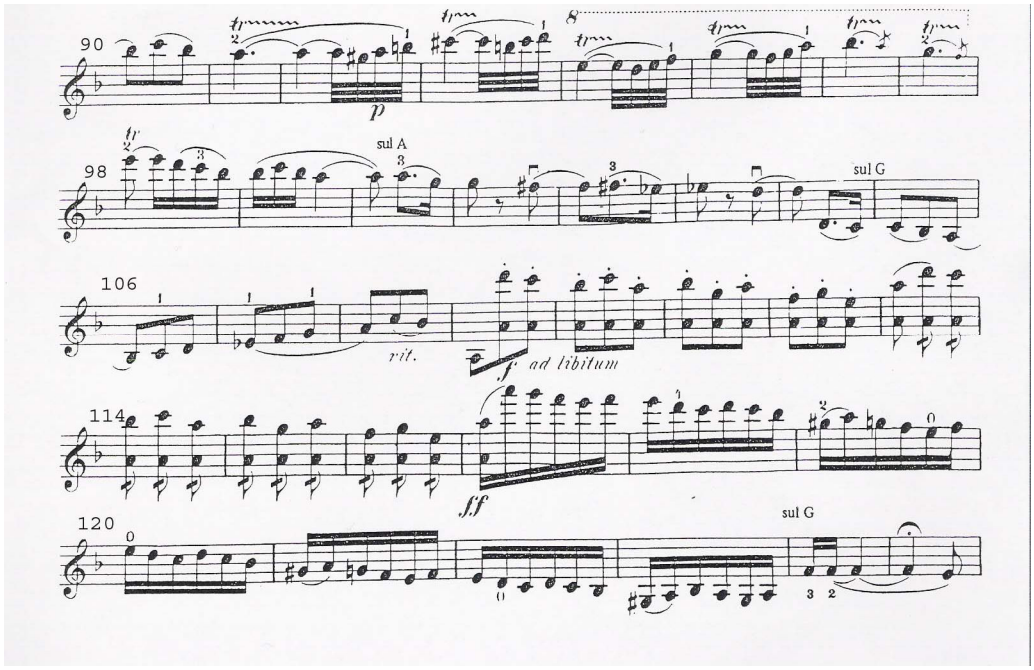



Example 23

On two occasions, Sarasate writes his own creative melody immediately after the second. Entr'acte theme implies Bizet's. This takes place from m.41 to the downbeat of m.50 and from m. 92 to the downbeat of m.100.




Example 24




Example 25

The new music is based on Bizet's, but is more written for the virtuoso violinist. After this, Sarasate writes exactly the same melody as Bizet, but a more dramatic sound occurs with the use of the more intense register on the A and G strings. Sarasate expands mm.107~109 of Bizet's score from a 3-bar descending line to a 4-bar phrase by adding another measure of a similar pattern. Sarasate instructs the soloist with an *ad libitum* for more soloistic freedom. From mm. 109-123, double stops with open A-string, bowing double strokes, and a fast fortissimo sixteenth-note descending scalar passage makes the violin playing more showy and brilliant.

Sarasate transforms the orchestral score for solo violin and, from mm.126 to the end, adds no extra beats to Bizet's original; every measure of Bizet's music is rewritten for the violin. In mm.126-129 of Sarasate's piece, every beat holds some importance. Beats 3 and 1 are served with an accented double down-bow, and beat 2 is an octave double stop. So, even though accents are beats 3 and 1 establish the typical Spanish Flamingo guitar rhythm, the listener feels that this is a more complex hierarchy of metric emphasis, thus hiding the normal metric beat

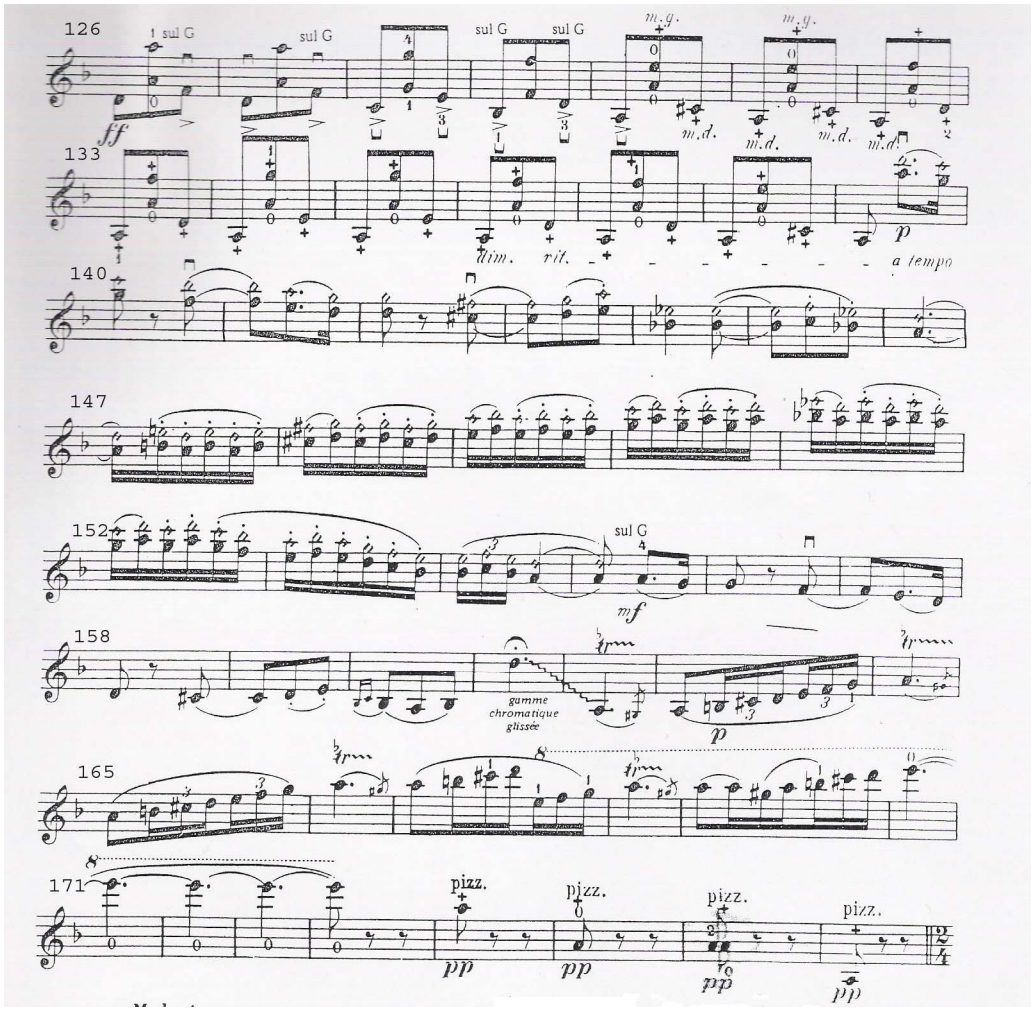
orientation. In mm.130-8, every note is played by right- or left-hand pizzicato. Mm.139-153, Sarasate brings in a totally new sound from Bizet by writing slurred-staccato fingered harmonics, with which the performer can use vibrato for a better sound. In mm.155-160 second Entr'acte theme repeats on the G-string, and so is contrasted in sound with the fingered harmonic sound that had just come before. This heightens the sense of the variation process that is so essential in the fantasia concept.[5] It ends in a descending chromatic glissando in m.161 going to lowest register A. Then, it takes only nine measures from this lowest A to reach the highest E in one ascending phrase. The last four measures employ the violin technique of left-hand pizzicato (Example 26).

Sarasate divides his work into introduction and four sections. For the four sections, he chooses numbers in which Carmen's melodies are in the same order as those in Bizet's opera.

For section I, as in the introduction, Sarasate borrows all of No.5 of Bizet's opera. He starts to vary the themes from the very beginning. From mm.1-

[5] See earlier discussion of variation canzone historical source.

20, Sarasate varies Bizet's theme with grace notes and octave leaps.

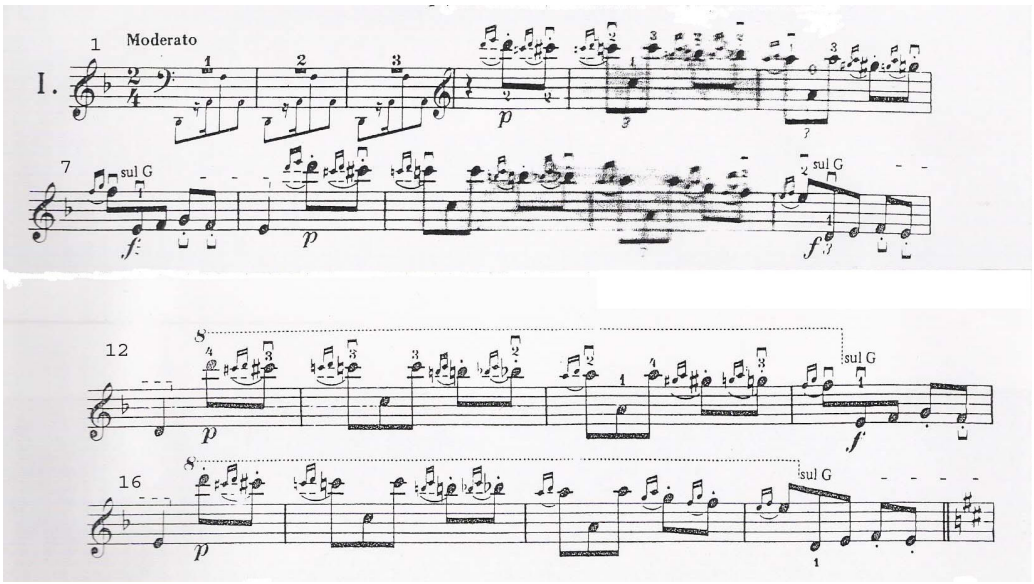



Example 26

The original opera repeats the same theme four times in the same lower octave, but Sarasate repeats this theme twice an octave above the original, and twice two octaves above the original. Grace notes are a traditional

ornamentation for the instrumentalists but not for vocalists. Leaps bring more brilliance to the violin line (Example 27).

After the key changes, the theme in the opera is sung by a chorus; Sarasate imitates this thick texture by having the violin play chords. However, Sarasate does not follow the mood of this scene (mm. 20-28); he chooses a forte dynamic instead of Bizet's original pianissimo. Sarasate continues to develop this big dynamic with chordal texture into the introduction of the new theme (m. 28), despite Carmen's singing it at a piano dynamic in the opera.



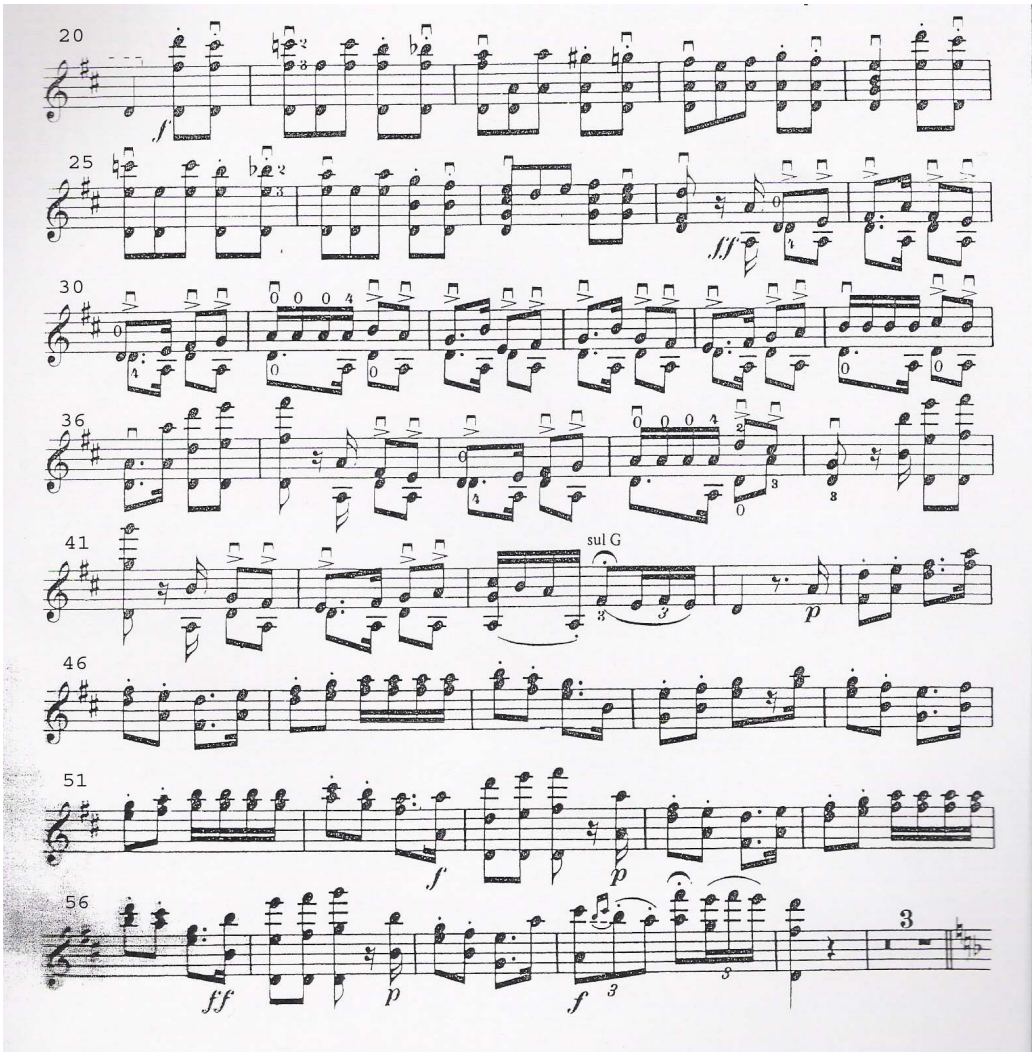

Example 27

In the new theme, Bizet makes dynamics interesting within this section by having Carmen sing her part softly, and then having the chorus respond with a big, forte sound, only to have the melody return to Carmen's piano melody. However, Sarasate makes dynamics interesting by having this entire forte section follow a big piano section. Then, when the chorus repeats Carmen's new theme, Sarasate follows the dynamic level of Bizet. In this middle section in the major key, Sarasate's violinistic idiom shows that every note is a chord (Example 28).

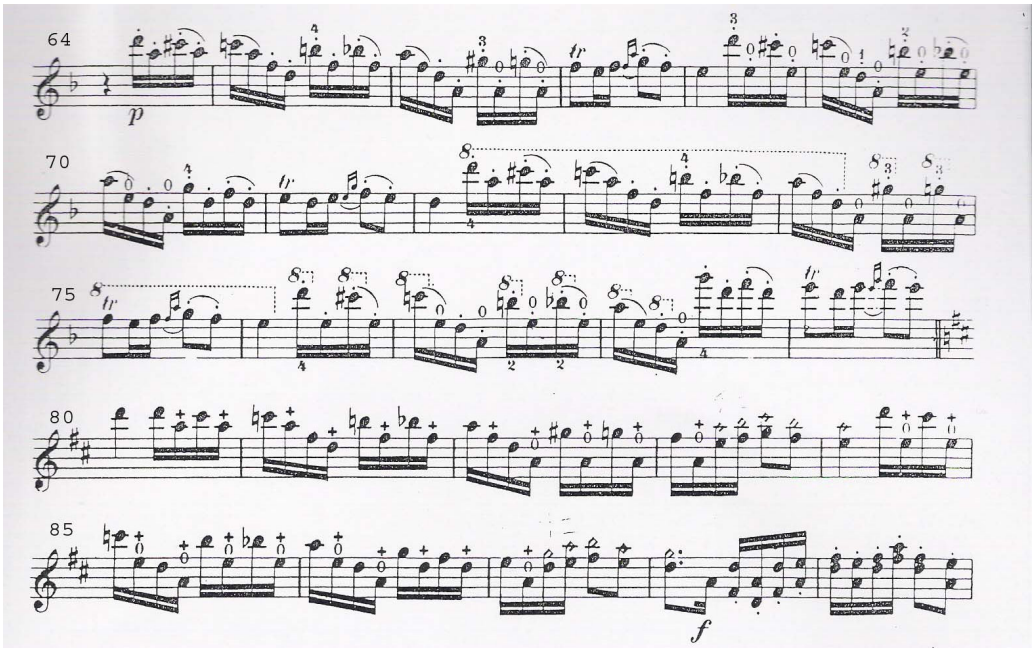
After coming back to the original minor key (m.64), Sarasate varies by the traditional idea by adding arpeggiated figuration as elaboration of the original theme, and then repeats this phrase an octave above (m.72). Another variation (m.80) begins by using left hand pizzicato and artificial harmonics, which are particular to string instrumental technique (Example 29).

The remainder of section I begins with a return to the chordal texture. It goes to the end with a faster tempo (*piu animato*), a more diminished rhythm figuration (triplets), and with bigger dynamics (from piano to fortissimo). The theme, played by extremely fast triplet notes in the *piu animato* section, in a live

performance looks like a fiery bow, and it describes Carmen singing “you play with fire!” (Prends garde a toi!)

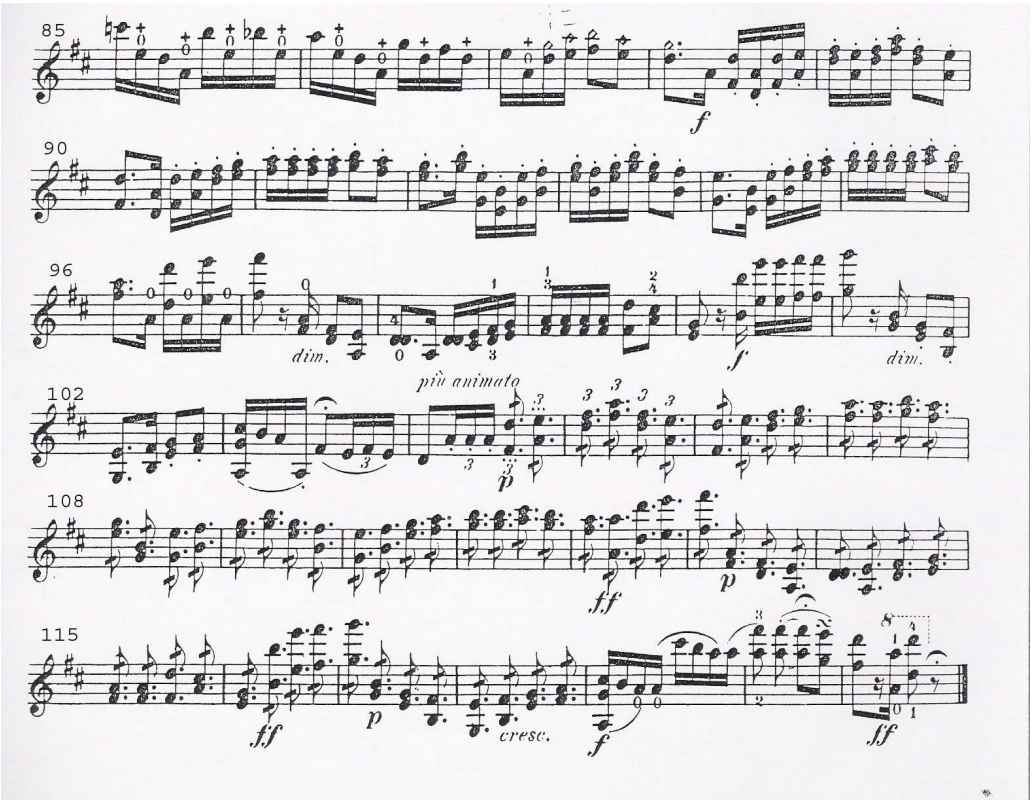



Example 28



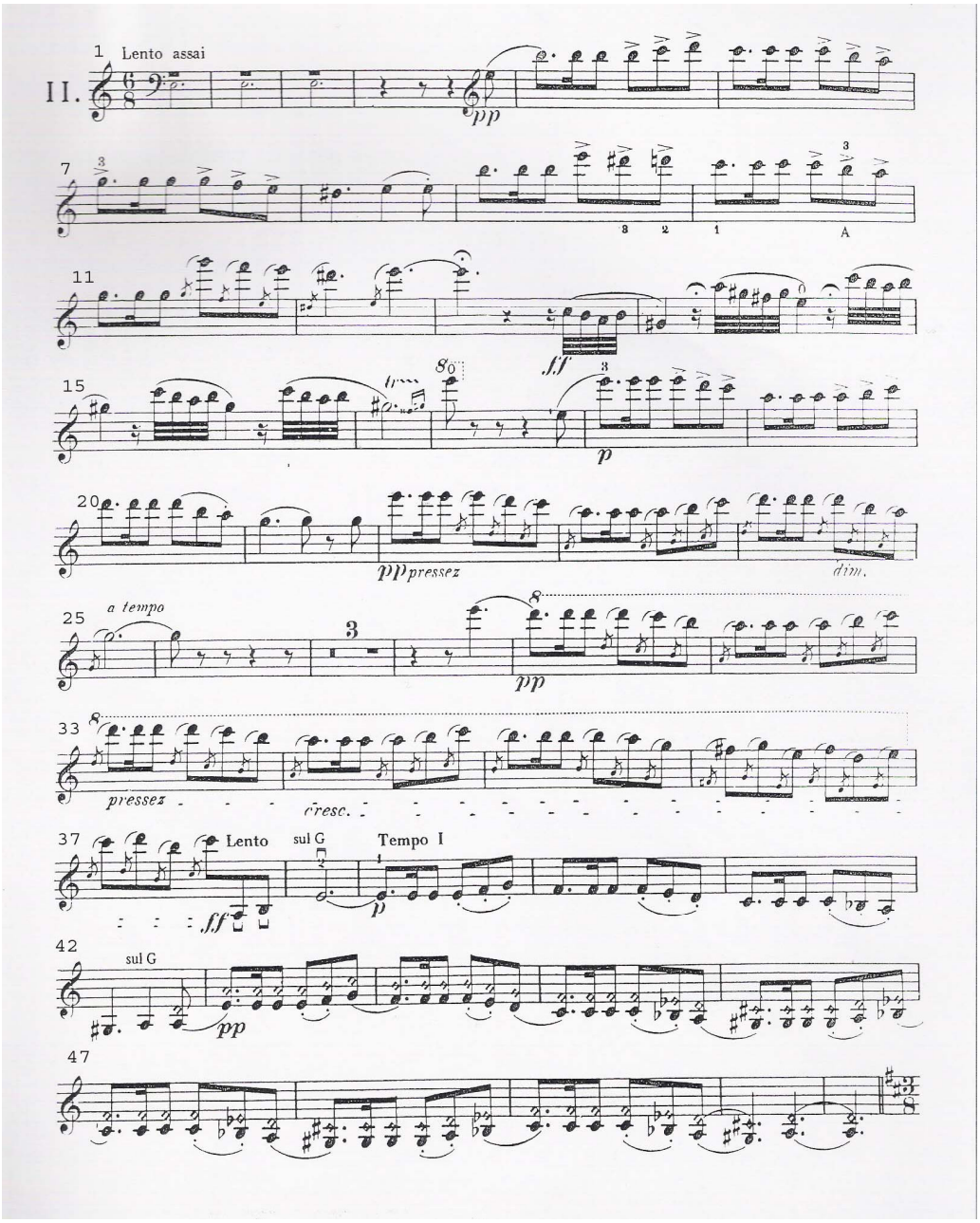

Example 29

Section II is only one page. Bizet's No.9 consists of Carmen, Don José, Zuniga, and a chorus of sopranos singing in a scene together. Sarasate adapted Carmen's solo melodies only for his second section. Following the fiery ending of the previous section, section II by contrast starts very calmly and slowly. This section's changes from Bizet's lines are limited to writing the theme an octave below or above the orginal, grace notes an octave below the melody notes, and fingered harmonics. This section relaxes the tension in Sarasate's highly demanding violin techniques in the rest of the piece (Example 31).



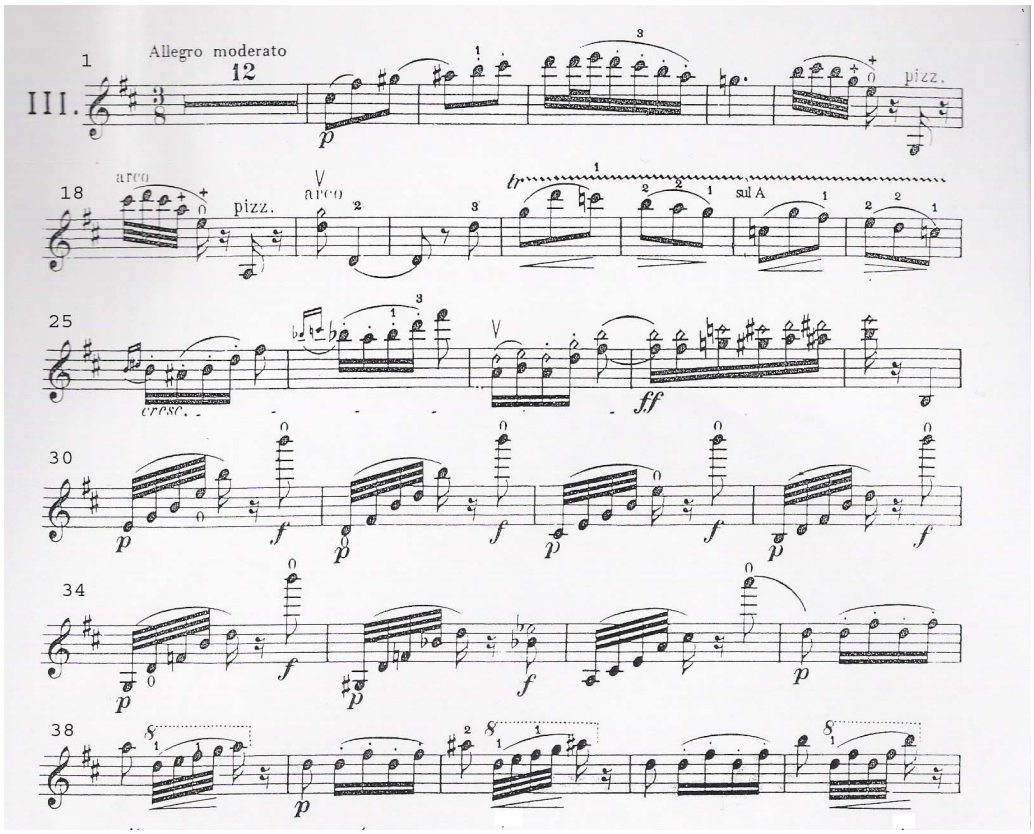

Example 30

Section III is varied like section I. Sarasate compresses four violin techniques into four beats (m.18-19); arco, left- and right-hand pizzicatos, and a artificial harmonic. This section is a specially varied in its figuration ornamentation and violin sonic devoices. This includes cadential flourishes as thirty seconds, played staccato mixed with left hand pizzicato, harmonics, etc, all in period alternation.


II.
1 Lento assai
pp
7
3 2 1 A
11
ff
15
p
20
pp pressez
dim.
25 a tempo
pp
33
pressez
cresc.
37 Lento sul G Tempo I
ff
p
42 sul G
pp
47

Example 31

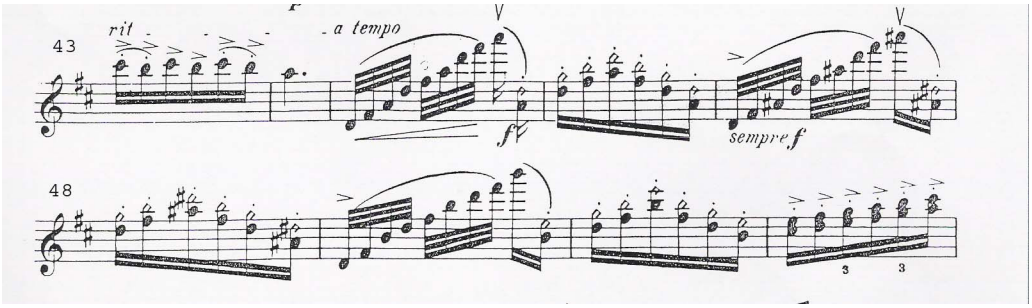
This contest of great activity has a scherzo like quality, which is appropriate in its succession to the more lyrical slow Section III. The latter seems to function as the slow movement of a four movements plan, like the sonata. Hence, Section III, is made more like a scherzo. Thus Sarasate's fantasy is even more complex structurally in this nineteenth century idiom in that it sympathies unrelated many procedures (e.g. variation) and form (sonata) into the compressed one movement fantasy idea. In the Bizet's opera, Carmen ends her phrase on an F (mm.25-27), sustained for six beats. Sarasate ends the same phrase in a flourish that ranges three octaves, with a brilliant fast sixteenth-note slurred staccato, grace notes, artificial harmonics, all under one crescendo. Sarasate borrow chords (mm.30-36) from the tutti part to make an arpeggiated variation. The dynamics are mixed in each bar. The first part of each measure is played piano, and is an arpeggio made up of four slurred thirty second notes followed by a sixteenth note; the final eighth-note of each measure is a high note, B, three octaves above middle C, played forte.




Example 32

Sarasate develops Bizet's melody (mm.45-50) in a more complicated way. Ascending thirty second note arpeggios (2 1/2 beats) are followed by one full measure of sixteenth note fingered harmonics (Example 33). There is a chromatic scale in m.67, which follows repeated the arpeggiated decorations throughout the section up to this point. Bizet's F (mm. 94-95) is treated in the same way by Sarasate as is the F (mm. 25-27); he treats the melody in the next 3 measures in

the same way.

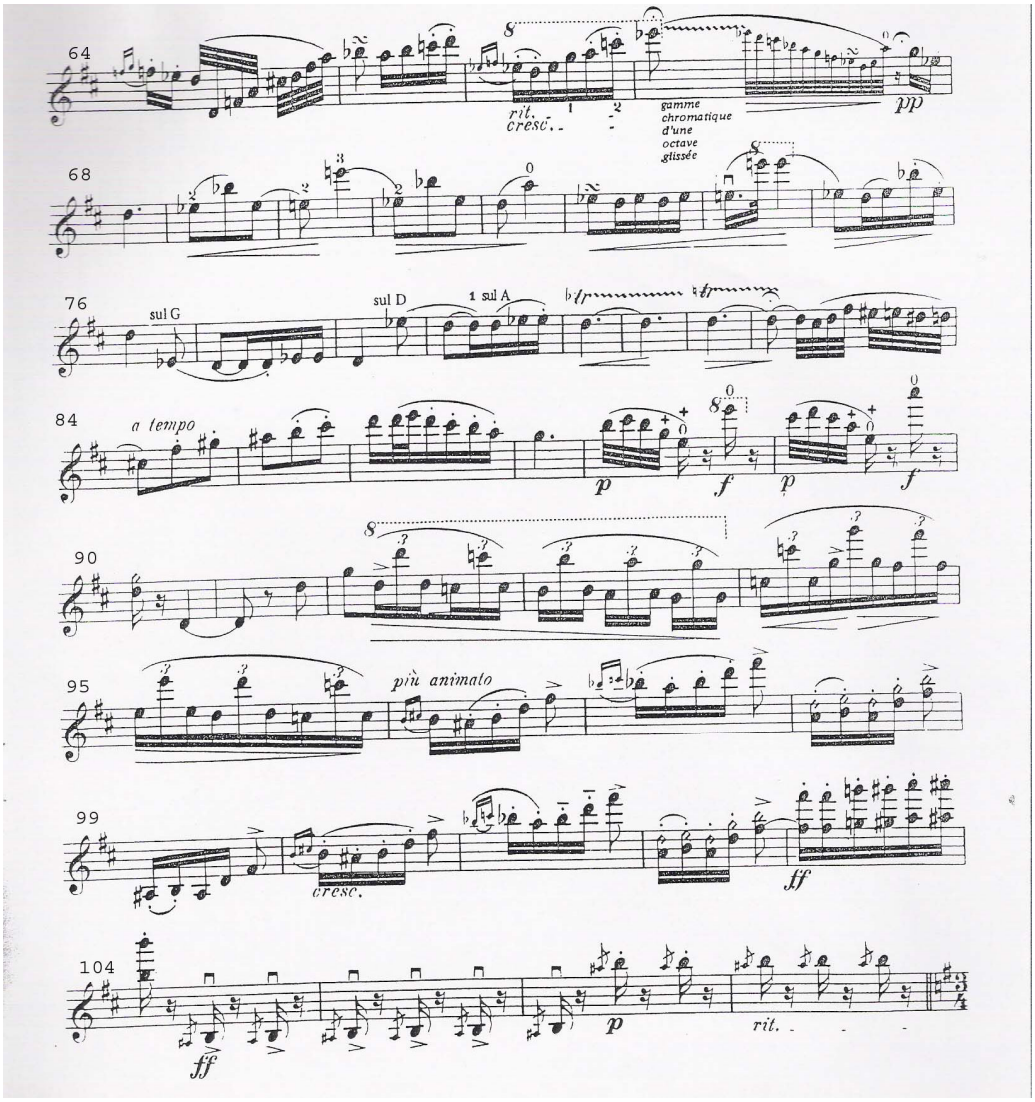



Example 33

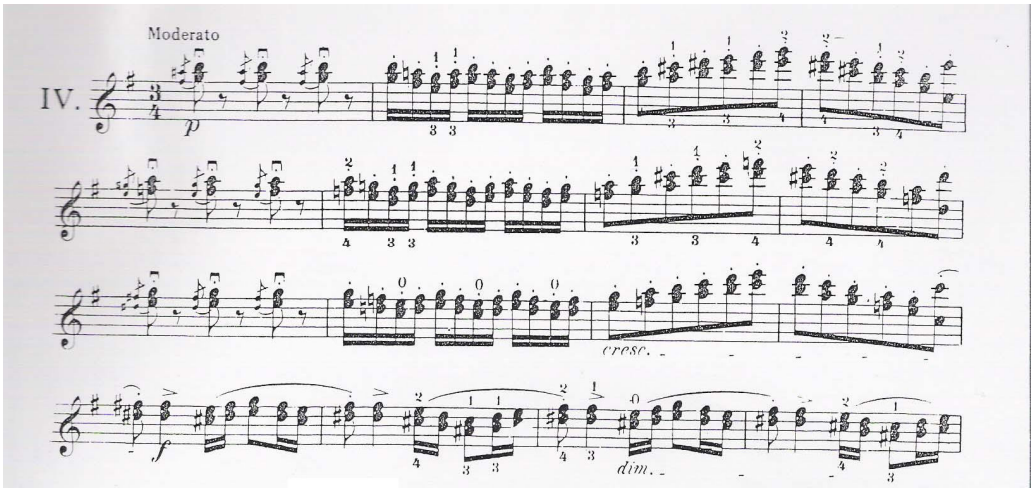
The *piu animato* (all under a crescendo) and fortissimo lead to ending of this section as in section I. The difference is that the last four measures prepare the listener for the next section (Example 34).

The Gypsy Song (no.12) starts second act of Bizet's opera. For the first forty five measures, Sarasate copies exactly the same music of Bizet's tutti section, all of which is minor- and major-thrid double-stops; this is very difficult for the violin player, and therefore requires no further decoration on Sarasate's part (Example 35). All the 16$^{th}$ notes arpeggiations in ascending and descending forms (mm.66-80), maintains Carmen's original melody hidden in the frenzy (Example 36). After the dizzying sixteenth notes, Sarasate moves to string-

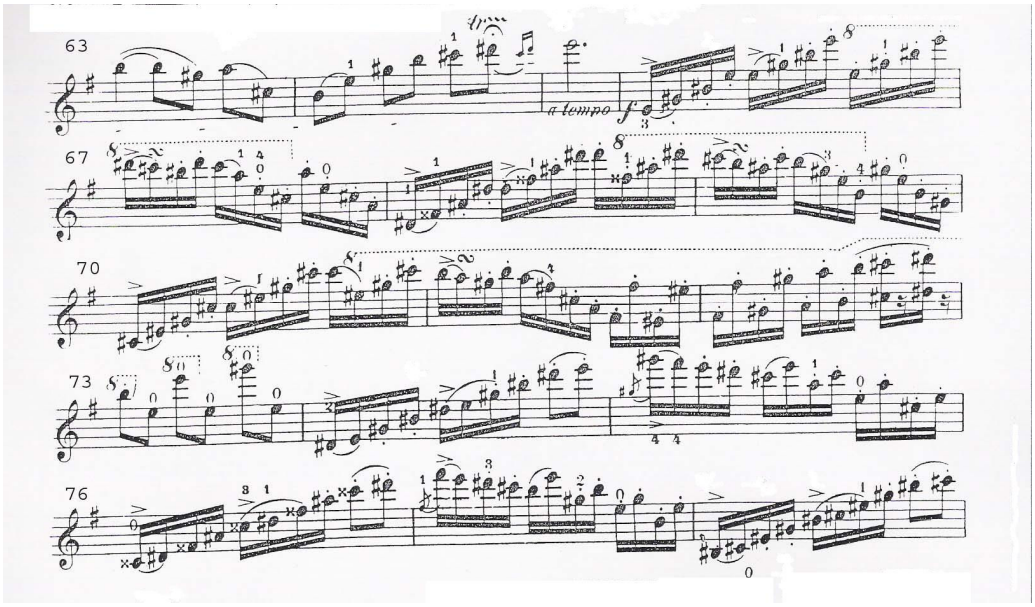
crossings over intervals of the octave, and leaps, and continues the madness by going to an animato tempo with repeated double-stops 16ths that include the open E string. All of this makes for a chaotic ending (example 37).



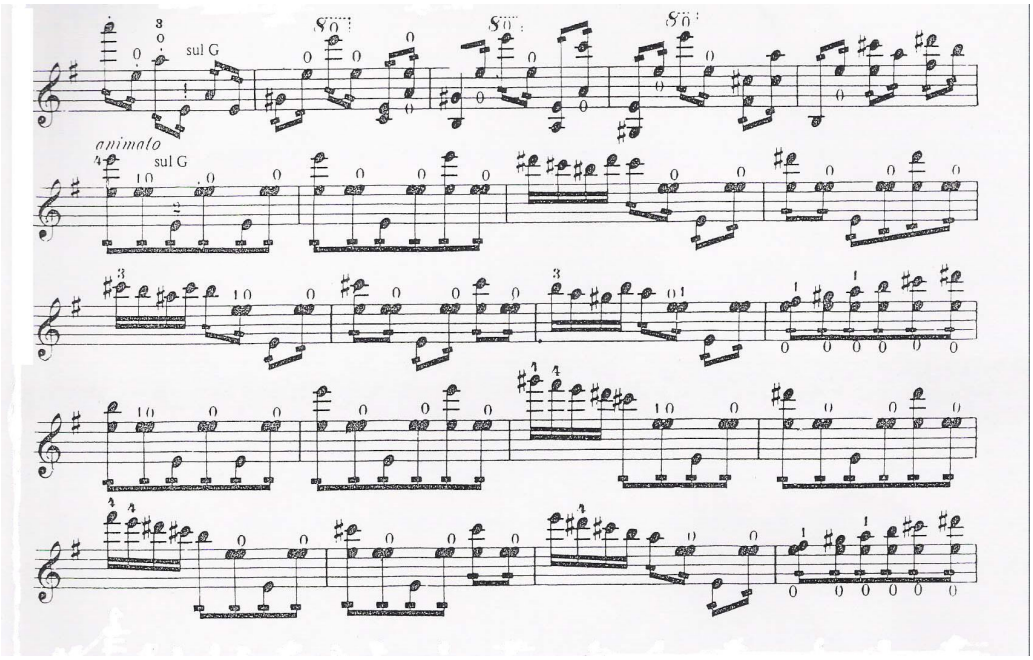

Example 34




Example 35




Example 36




Example 37

**From Sarasate to Waxman**

The Waxman "*Carmen Fantasy*", although in the tradition of the Sarasate in the virtuosity, its use of transcription or arrangement and its free fantasy use of existing material, is a quite different work. This is striking considering the fact that the same Bizet themes are pre-eminent in the work. Before we compare the Waxman's work and Sarasate's and trace back further to the Bizet opera, let us discuss the composer and man himself.

Franz Waxman was a friend of Jascha Heifetz, and his Carmen fantasy

was written for the legendary violinist. Like Sarasate, Waxman borrowed themes from the original Bizet opera. He also borrowed several idiomatic violinistic features from Sarasate.

First, we shall investigate the opera sources of Waxman's Carman themes. Waxman starts with the theme from Bizet's Prelude (No.1). As with Sarasate, Waxman also copies the entire first sixteen measures of the original for his piano tutti. After the tutti, the violin starts with a brilliant cadenza covering four octaves. This leads to the "Habanera". Waxman maintains the original Habanera rhythm while decorating thematic notes with sixteenth and thirty-second notes. The new Habanera theme (mm.30-38) begins exactly like Sarasate's "Habanera", and, seven measures later, is developed further by an arpeggio and double-stop triplet sixteenths.

In this double-stop passage (mm.54-66), the slur from the upbeat into the next beat gives this tune a seductive twist. The exact same passage in Sarasate has no slurs and is mostly staccato; this makes the melody sound bright. Another cadenza connects the Habanera theme and next Andante. In fact, a cadenza closes

every formal segment of the fantasy. This cadenza is three octave and almost in the same style as the first one.

The following section, *andante molto moderato* (mm.70-107), is from the middle part of a trio (No.20) from the opera. It is not taken from the Sarasate piece, since Sarasate never used this music in his fantasy. Waxman uses this section for contrast between running passages. This section also ends with a brilliant cadenza in three octaves.

The *Allegro* (mm.108-235) is from the Entr'acte between acts III and IV of the opera. Waxman changes the order of Bizet's themes for his own purposes. He begins with the passage that is originally used as a bridge between the first statement of the second Entr'acte theme and its first variation.[6] Waxman states this theme after this introduction. After the theme, he begins to borrow more from Sarasate, but changes certain things. First pizzicati and then arpeggios are used to end phrases (mm. 50-65) of the Sarasate. The order of these phrase endings is switched in Waxman's version (first arpeggios, then pizzicati). Also, Sarasate's

[6] The first Entr'acte theme never returns in the Bizet and Sarasate.

ascending triplet-sixteenth notes become descending triplet-sixteenth notes with a leap ending in the Waxman.

The next passage (mm.150-160) consists of four two-bar sets; the first measure is a single long trill, and the second measure is a variant of the Sarasate scale. Waxman varies each of Sarasate's four ascending triplet-sixteenth scales differently. He continues to compose a variation on Sarasate's lines with artificial harmonics, ornamented melody, and fingered octave double-stops with slurred staccato (mm.160-183). As with other sections, this one also ends with a cadenza. Unlike the others, this cadenza consists of third double-stop chords varied from trill-like motion.

The final *Allegretto* section that follows has the same tempo marking as the Bizet opera, which Sarasate changes in his version. In the Waxman *Allegretto*, there is no relaxation break for the player, since almost every phrase has distinguished violin techniques, more so than Sarasate's. Waxman introduces the theme with artificial harmonics, and the entire remainder of the section (and thus

the work) features difficult violin techniques. For example, the original melody is offered in octave leaps, with a rhythm where the melody notes are placed so that they switch between on- and off-beats (mm.265-269).

Also, by having the melody leap up and down in octave intervals, Waxman makes a different kind of shape (mm.314-320). Sarasate does not ornament Bizet's simple melody (mm.69-72).

In another example, Waxman begins a triplet-sixteenth arpeggio with a single descending interval. It then ascends for the next six notes, ending in a glissando that stops at the downbeat of the next measure (mm.282-286). By contrast, the analogous passage in Sarasate's version begins with an eighth-note that leaps *up* a fourth, and then, in a single eighth-beat, he writes four stepwise ascending notes, that finally arrive on the third beat (mm.37-40).

When the motif returns (m. 290), Waxman varies it a little by replacing the two-beat glissando with one that lasts for an entire measure (mm. 290-295). After this, while Sarasate returns to the opening tune of this section, Waxman takes a different route and adds a passage that is very challenging for violinists:

fast trill-like sixteenth-note third chords (mm.327-345). These consecutive third chords require that the violinist's fingers move with confident independence in order to remain in tune. A few measures later, a chromatic scale of parallel sixth chords lead to the section-closing cadenza. This cadenza, unlike the previous one, descends first and then ascends in three octaves. It leads to the final section, which begins with the second theme from Bizet's first song of act II, Gypsy Song (No.12). Waxman has the theme played by the accompaniment, and the violin plays fast scale-like passage.

The last seventy-four measures of Waxman's (mm.475-549) and the last sixty-three measures of Sarasate's (mm. 66-129) works are the climaxes of each composition. The passages are similar to each other in that they consist entirely of sixteenth notes; however, the styles are very different from each other. Sarasate's finale is more natural to for the violin to play because the figures are written such that the fingering is very straightforward; also, liberally using open E string adds an element of "noisiness" and excitement, which is appropriate for describing a fiery Carmen by requiring fiery bowing to the very end. On the other

hand, Waxman's approach to the climax relies on constantly changing textures – employing slur staccato, saltando, octave glissando, unorthodox fingerings – that require all of the violinist's strength to endure to the end.

After all of these challenges there is one final one left in the last four measures: a trill octave ending in glissando and pizzicato.

# Chapter 4

# Conclusion

Georges Bizet's opera, *Carmen* (1871), is one of the most frequently performed today. Since it has many attractive themes, several composers transcribed or rearranged it.

I have explored the aesthetic, musical, and violinistic significance of two virtuoso arrangements of prominent themes from Bizet's opera, *Carmen*, by comparing the "Carmen" Fantasies for violin and orchestra by the composer/violinist Pablo de Sarasate and the Hollywood film composer/conductor Franz Waxman. In both cases, variational (or transformational) processes of the original operatic material are highly dependent on the idiomatic instrumental approaches of the composers and their abilities to exploit a wide range of

violinistic figurations within the larger formal structures and designs of their respective works.

Sarasate uses the fantasy form as a sectional one in order to give his work structure; it somewhat mimics that of the numbers form of Bizet's opera. The fantasy, a historically free form, allows for musical exploration of Bizet's original ideas. He follows measure by measure Bizet's original music, adding violinistic idioms without expanding or contracting the original music. On the other hand, Waxman makes much more liberal use of the fantasy form, destroying the relatively stricter structure typical of earlier fantasy.

As mentioned earlier, music of Sarasate's version is more closely based on Bizet's opera than Waxman's. For one, its tonality is typical of the nineteenth century. It is clear that Sarasate tried to adhere to a musical interpretation of Bizet's *Carmen* that would bring out the themes of the opera. Written for the virtuoso violinist, it is very brilliant and technically demanding on the player.

Waxman's fantasy is a different kind of work, more a mixture of Bizet's themes and Sarasate's violinistic idioms, adapted for Heifetz's performing talent.

Although Waxman does take his cues from Bizet, it is not his purpose to follow the Bizet work completely faithfully. This fantasy focuses more on a technical showcase of the violinist. The analysis of Chapter 3 shows us that musically, Waxman's version is more esoteric than Sarasate's; the technique of this work is much more awkward and less amenable for violinists. It is clear that the technical aspects of his work take precedence over any sort of musical interpretation of the opera. The Sarasate work is more emotional by comparison because the violin idiom comes together so well with musical ideas.

The goals of both works are same: showcasing. However, that the works originated from two different composers in two different eras means that this goal will manifest itself differently for each. Although they both use the same musical material in a "fantasy" form, this genre too developed through time, and so the violinistic technique of Sarasate's work is expected and traditional, while the violin technique in Waxman's work is unorthodox and unwieldy.

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# Vita

Sue-Jean Park began her studies on the violin with her mother beginning at the age of 6. She attended Seoul National University on scholarship for her B.M. For her graduate studies in violin, Ms. Park attended Yale University on scholarship where she studied with the legendary violinist and teacher, Erick Friedman. Currently Ms. Park is a DMA candidate, also on scholarship, at the University of Texas at Austin under the instruction of Professor Vincent Frittelli.

As an orchestral musician, Ms. Park toured Europe, Asia, and Israel as a member of Jenesses Musicales World Orchestra. Conductors for this orchestra included Sir Neville Marriner and Kurt Masur; soloists with the orchestra included Gidon Kremer. As a concertmaster, Ms. Park played for JMWO, Seoul National University Orchestra, Seoul Youth Philharmonic Orchestra, and the University of Texas Symphony Orchestra. In addition, she was the associate concertmaster of the Rome Festival Orchestra in Italy and a principal violin of the Yale Philharmonia, the Pacific Music Festival Orchestra in Japan, and the Victoria Symphony. She was also a tenured member of both the Austin Symphony and Austin Lyric Opera Orchestra.

As a soloist, Ms. Park played with JMWO and Seoul Youth Philharmonic Orchestra. She also has performed numerous solo recitals. She has won competitions both in the U.S. and Korea. Most recently, her piano quartet won a prize in an international chamber music competition.

Besides being an active performer, Ms. Park is also very interested in teaching. She served as a teaching assistant at UT under Prof. Frittelli.

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